

# Canaccord Genuity Investment Funds plc

## Application form

This Application Form, together with the FATCA and CRS Self-Certification Form, the Declaration of Residency and the Anti-Money Laundering Verification Form constitutes your agreement to subscribe for Shares in Canaccord Genuity Investment Funds plc (the 'Company'). All sections must be completed in their entirety and are required before an account can be opened. Terms used are defined in the Prospectus of the Company.

You should post or fax your subscription (in which case the original must also be forwarded) to the Administrator's address below. Please note that if this is your first investment in shares of the Company the original fully signed Application Form and supporting copy bank statement must be returned to the Administrator.

Once the signed Application Form and Anti-Money Laundering Verification documentation is received, the Administrator will send the account number confirmation to the authorised contact(s) upon which you can then place dealing instructions. Subscription instructions and proceeds must not be forwarded until the account number confirmation is issued to you by the Administrator. Please note this may take up to 5 Business Days. Any subscription deal received as part of the account opening form will be rejected.

No dividend payments will be processed prior to receipt of this original signed Application Form and supporting documentation.

If you are unable to complete any part of this form, please contact the Administrator at:

Transfer Agency Department, Northern Trust International Fund Administration Services (Ireland) Ltd

2<sup>nd</sup> Floor, Block A, City East Plaza, Towlerton, Ballysimon, Limerick, V94 X2N9, Ireland

T: +353 1 434 5089

F: +353 1 531 8516

E: cgwmenquiries@ntrs.com

## Section 1 – Application form

### 1. Details of applicant(s)

#### Unit Holder 1

Mr/Mrs/Miss/Ms/title:

First name/family name/company name:

Address inc street/town/country/postcode:

Telephone:

Email:

Mailing address (if different from the address of the first named holder):

#### Unit Holder 2

Mr/Mrs/Miss/Ms/title:

First name/family name/company name:

Address inc street/town/country/postcode:

Telephone:

Email:

If more than two applicants add an additional page with their details and tick here:

## 2. Dividend information and redemption payment\*

Please tick the preferred dividend option:  Cash  Reinvestment

### Important information regarding bank accounts for subscriptions and redemptions

Third party payments are not permitted for redemptions. Please confirm the details of the bank accounts from which and to which payments will be made below.

A copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence the bank account details provided for subscriptions and redemption payments are for a bank account in the registered account name. Accounts in the name of regulated entities are exempt from this requirement.

To meet our anti-money laundering and counter terrorist financing obligations under the current legislation, all joint bank account holders will be required to complete identity and verification requirements, even where those joint bank account holders will not be registered holders of shares or units in the fund.

Failure to provide all the bank account information and documentation requested as part of this application may result in a delay in setting up the account and subscribing to the fund.

**THIS SECTION MUST BE COMPLETED BY ALL INVESTORS OTHER THAN EQUIVALENTLY REGULATED ENTITIES OPENING AN ACCOUNT IN THEIR OWN NAME OR THE NAME OF THEIR NOMINEE COMPANY, EITHER FOR THEIR OWN BENEFIT OR THE BENEFIT OF ONE OR MORE THIRD PARTIES.**

Pay proceeds to:

Name of bank:

Account name:

Account number:

Sort code:

Address:

Postcode:

A request to change bank account details MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCCOMPANIED BY a bank statement or banker's reference (no more than 6 months old) to evidence the new bank account details provided are for a bank account registered account name.

Please note that if no election is made above, the Company will automatically re-invest any distribution entitlements in further shares of the same class:

- (a) Unless distributions are in excess of US\$100, £50 or €100 or currency equivalent, and instructions in writing to the contrary are received from the Shareholder at least 21 days prior to the relevant distribution date;
- (b) If distributions are less than US\$100, £50 or €100 or currency equivalent in value;
- (c) In all cases where the Shareholder's anti-money laundering documentation is incomplete or has not been completed to the satisfaction of the Administrator.

Please note bank charges may be deducted. Please see the main prospectus for further details. No third party payments will be undertaken.

If the section is not completed, redemption will be paid in favour of the registered shareholder or in favour of the joint registered shareholders as appropriate, and sent to the registered address of the first named shareholder or to the mailing address.

The present instruction shall apply to the relevant Fund and shall be valid until cancelled by me/us in writing. Joint applicants acknowledge that they are also bound by these instructions.

A telegraphic transfer fee of £20/€30/US\$37.50 or currency equivalent will be applied to dividends or redemptions paid in this way.

### 3. Detail of Agent/Nominee/Intermediary

This section only needs to be completed where there is an agent/nominee or intermediary. Where there is no such agent this section does not need to be completed.

Total front end fee:  %

Commission to pay to agent:  %

Name:

Contact:

Telephone:

Address:

Postcode:

**Note:** Any Intermediary recorded above hereby confirms that they are complying with all necessary laws and regulations in entering or soliciting a third party to enter into this contract. In addition to verifying the source of funds, Intermediaries are obliged to verify the identity of any investor introduced by the Intermediary. Intermediaries falling into this category should supply the information detailed in the relevant section of the Money Laundering Verification Form. Unless this information is supplied, the Shares will not be registered by the Administrator.

### Dealing procedure

All application, redemption, transfer requests and instructions in relation to the Shares in the relevant funds must be received before the times specified in the relevant supplement of the Prospectus for each fund. Applications, redemptions and transfer request received after that time will generally be deemed to have been received for the next Dealing Day. **No redemption payment will be made until the original application form has been received from the investor and the Administrator is satisfied that all of the necessary anti-money laundering checks have been completed in full.**

By ticking here, I hereby consent to the provision of contract notes, statements and other reports, by secured and encrypted electronic transmission, which may be issued from time to time by the administrator in respect of my holdings in the Fund.

## Section 2 – Investor Tax Residency (this section must be completed)

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 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'.

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.

## Section 3 – Investment Undertaking Tax – Declaration of Residence

### Declaration of residence inside or outside Ireland (OWN BEHALF ONLY)

Please tick (i), (ii) or (iii) as appropriate

#### (i) Irish residents

I am/we are an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.

OR

#### (ii) Exempt Irish residents

I am/we are an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. If this box is ticked, please also complete the declaration of exempt Irish residents below.

OR

#### (iii) Non-Irish residents

I am/we are not currently Irish resident or ordinarily resident and will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. If this box is ticked, please also complete the declaration of residence outside Ireland below.

### Declaration of residence for the beneficial owner inside or outside Ireland (INTERMEDIARIES ONLY)

Please tick (i), (ii) or (iii) as appropriate

#### (i) Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the units is an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.

OR

#### (ii) Exempt Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. If this box is ticked, please also complete the declaration of exempt Irish residents below.

OR

#### (iii) Non-Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is not currently resident or ordinarily resident in Ireland and will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. If this box is ticked, please also complete the declaration of residence outside Ireland below.

Authorised signatory:

Authorised signatory:

Date:

Date:

## **Declaration of exempt Irish resident entities**

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

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

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the shares/units on behalf of the applicant named below who is entitled to the units in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick as appropriate)
  - a pension scheme;
  - a company carrying on life business within the meaning of section 706 TCA 1997;
  - an investment undertaking;
  - an investment limited partnership;
  - 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;
  - entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997\* (see further requirement for Qualifying Fund Manager below);
  - a PRSA Administrator;
  - a credit union within the meaning of section 2 of the Credit Union Act 1997.

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

I also declare that at the time of making this declaration, the units in respect of which this declaration is made are held for charitable purposes only and:

- form part of the assets of a body of persons or trust treated by the Revenue Commissioners as a body or trust established for charitable purposes only, or
- are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.

I undertake that, in the event that the person referred to in paragraph (7) 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 / PRSA Administrator**

I/we\* also declare that at the time this declaration is made, the units in respect of which this declaration is made:

- are assets of \*an approved retirement fund/an approved minimum retirement fund or a PRSA, and
- are managed by the Declarant for the individual named below who is beneficially entitled to the units.

I/we\* undertake that, if the units cease to be assets of \*the approved retirement fund/the approved minimum retirement fund or the PRSA, including a case where the units are transferred to another such fund or account, I/we\* will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

\*Delete as appropriate

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

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

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

I/we\* further declare that:

- unless I/we\* specifically notify 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 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:

Irish tax reference number of applicant:

Authorised signatory (declarant):

Capacity in which declaration is made:

Authorised signatory (declarant):

Capacity in which declaration is made:

Date:

## **Important notes**

1. This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
2. Tax reference number in relation to a person has the meaning assigned to it by Section 885 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 share/units.
3. In the case of, (i) an exempt pension scheme, the administrator must sign the declaration; (ii) a retirement annuity contract to which Section 784 or 785 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 an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. A copy of the power of attorney should be furnished in support of this declaration.

## **Declaration of residence outside Ireland**

It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares/units. Terms used in this declaration are defined in the Prospectus.

### **Declaration on own behalf**

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

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

\*Delete as appropriate

### **Declaration as Intermediary**

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

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

\*Delete as appropriate

Name and address of applicant:

Signature of applicant or authorised signatory (declarant):

Capacity of authorised signatory (if applicable):

Date:

**Joint applicants**

Signatures:

Names:

### **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 Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

## Return of Values (Investment Undertakings) Regulations 2013

The Company 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 must provide the following additional information and documentation:

Tax Identification Number (TIN)/PPS Number:

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

- P60
- P45
- P21 Balancing Statement
- Pay Slip (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 its duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Act 2018. 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.

Please see the table below for a list of exempted unit holders:

Unit Holders	Taxes Consolidation Act 1997 (as amended) ref
The following Irish resident entities from which the investment undertaking (IU) has obtained a duly completed resident entity declaration:	
Pension Schemes	<b>s.739D(6)(a)</b>
Companies carrying on a Life Assurance business	<b>s.739D(6)(b)</b>
Another investment undertaking	<b>s.739D(6)(c)</b>
An investment limited partnership	<b>s.739D(6)(cc)</b>
Special investment schemes	<b>s.739D(6)(d)</b>
Unit trusts to which section 731(5) applies	<b>s.739D(6)(e)</b>
Charities	<b>s.739D(6)(f)</b>
Certain IFSC companies	<b>s.739D(6)(g)</b>
ARFs; AMRFs	<b>s.739D(6)(h)</b>
PRSA providers	<b>s.739D(6)(i)</b>
Credit Unions	<b>s.739D(6)(j)</b>
Companies, where the IU is a money market fund	<b>s.739D(6)(k)</b>
NAMA	<b>s.739D(6)(ka)</b>
The National Treasury Management Agency or a Fund Investment vehicle (within the meaning of s.37 of the NTMA (Amendment) Act 2014)	<b>s.739D(6)(kb)</b>
The National Pensions Reserve Fund	<b>s.739D(6)(l)</b>
Section 110 Companies	<b>s.739D(6)(m)</b>
Unit holders where the IU, immediately before a chargeable event, holds a non-resident declaration made by the person who made the investment; or where the IU has put in place equivalent measures with the written approval of the authorised Revenue officer.	<b>s.739D(7); s.739D(7B)</b>
A Unit holder who holds units which are held in a recognised clearing system.	<b>s.739B(1)(d)(i)(III); s.739G(3)</b>

## Section 4 (i) – AEOI FATCA and CRS Entity Self-Certification

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'.

### Instructions for completion and Data Protection notice

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the 'GDPR') and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD websites at:  
[www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx](http://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx)  
[www.oecd.org/tax/automatic-exchange/common-reporting-standard/](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/) in the case of CRS only.

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

(Mandatory fields are marked with an \*)

### \*Section 1: Entity account holder details

<b>*Account holder name:</b>	(the 'Entity')
<b>*Country of Incorporation or Organisation:</b>	
<b>*Current (resident or registered) address:</b>	
Number:	
Street:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	
<b>Mailing address (if different from above):</b>	
Number:	
Street:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	

## \*Section 2: FATCA Declaration

Please tick **either (i) or (ii) or (iii)** below and provide U.S TIN or exemption code as appropriate, and complete the appropriate sections below based on your FATCA classification.

**(i) Specified U.S Person** - (also complete Sections 4 and 5 below)

U.S Federal Taxpayer Identification Number (TIN):

**(ii) U.S Person but not a Specified U.S Person** - (also complete Sections 4 and 5 below)

W9 Exemption Code:

**(iii) Not a Specified U.S Person** - (also complete Sections 3, 4 and 5 below)

## \*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.)

Complete either Section 3.1 and 3.2 OR Section 3.3 OR Section 3.4

### 3.1 Financial Institutions (FIs) under FATCA:

If the Entity is a Financial Institution, tick one of the below categories i, ii, iii and provide a GIIN at 3.2; if not, complete section 3.3 to explain type of Entity you are and why a GIIN cannot be provided.

**(i) Irish Financial Institution (FI) or other Partner Jurisdiction Financial Institution (FI)**

**(ii) Registered Deemed Compliant Foreign Financial Institution**

**(iii) Participating Foreign Financial Institution**

### 3.2 Please provide the Entity's FATCA Global Intermediary Identification number (GIIN)

### 3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please explain by choosing one of the below reasons:

**(i) The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN.**

Please provide the sponsor's name and sponsor's GIIN:

Sponsor's Name:

Sponsor's GIIN:

**NOTE:** This option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S reportable accounts are not required to register and obtain a GIIN with the IRS unless and until reportable accounts are identified

**(ii) The Entity is an Exempt Beneficial Owner**

Confirm the type of Exempt Beneficial Owner below:

Government Entity

International Organisation

Foreign Central Bank

Exempt Retirement Fund

Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners

**(iii) The Entity is a Certified Deemed Compliant Foreign Financial Institution**

(including a deemed compliant Financial Institution under Annex II of the IGA agreement)

Indicate exemption:



If a TIN is unavailable, please confirm the reason why below by ticking A,B or C 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)

**Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**Please tick this box to confirm you have specified all jurisdictions in which the Entity is resident for tax purposes.**

## \*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 on CRS to assist with classification, please see the OECD CRS Standard and associated commentary.

[www.oecd.org/tax/automatic-exchange/common-reporting-standard/](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/)

### 5.1 Financial Institutions (FI's) 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.

[www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf](http://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf)

#### CRS Financial Institution type

(i) A reporting Financial Institution resident in a participating CRS Jurisdiction (including an Investment Entity, Depository FI, Custodial Institution, Specified Insurance company)

(ii) A Financial Institution resident in a Non-Participating CRS Jurisdiction. Please also tick the type of FI that applies:

FI - Investment Entity resident in a Non-Participating Jurisdiction and **is managed by** another Financial Institution (If this box is ticked, also **complete section 6 below** and provide separate individual self-certification forms from each of the Controlling Persons)

FI - Investment Entity resident in a Non-Participating Jurisdiction but **is not managed by** another Financial Institution / Other Financial Institution (including a Depository Financial Institution, Custodial Institution or Specified Insurance Company resident in a non-participating jurisdiction).

(iii) Non-Reporting Financial Institution under CRS. (Specify the type of non-reporting FI below):

Government Entity

International Organisation

Central Bank

Broad Participating Retirement Fund

Narrow Participation Retirement Fund

Pension Fund of a Government Entity/International Organisation or Central Bank

Exempt Collective Investment Vehicle

Trust (whose trustee reports all required information with respect to all CRS reportable accounts)

Qualified Credit Card Issuer

Qualified Non-Profit Entity

Other Entity (Defined under the domestic law as low risk of being used to evade tax).

Specify the type provided in domestic law:

## 5.2 Non-Financial Entity ('NFE') under CRS:

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

### Active Non-Financial Entity (NFE) - (Choose the box that applies)

(i) Active (NFE) – a corporation the stock of which is regularly traded on an established securities market  
Please provide details of the established securities market on which the corporation is regularly traded:

(ii) Active (NFE) – if you are a Related Entity of a regularly traded corporation.  
Please provide the name of the regularly traded corporation of which the Entity is a Related Entity:

And provide details of the securities market on which the corporation is regularly traded:

(iii) Active NFE – a Government Entity or Central Bank  
(iv) Active NFE – an International Organisation  
(v) Active NFE – Other than those listed in i,ii,iii, or iv above. For example a start-up or certain types of non-profit NFE's.

OR

### Passive Non-Financial Entity (NFE)

(vi) Passive (NFE) If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and provide separate AEOI 'Individual (including Controlling Persons) Self-Certification for CRS and FATCA form' as indicated in section 6.2 for each Controlling Person(s).

## Section 6: Controlling Persons

**NB: Please note that each Controlling Person must complete a separate 'Individual (including Controlling Persons) FATCA and CRS Self-Certification' form.**

**If there are no natural person(s) who exercise control of the Entity, then the Controlling Person for CRS purposes 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. [www.oecd.org/tax/automatic-exchange/common-reporting-standard/](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/)

### 6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above or An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution in the CRS section**, then you must also complete this section for each of the Controlling Person(s) of the account holder and provide a separate 'Individual (including Controlling Persons) FATCA and CRS Self-Certification' form for each Controlling person as per 6.2 below:

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

(i)

(ii)

(iii)

(iv)

**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 for CRS purposes will be the natural person who holds the position of senior managing official of the Entity.

### 6.2 Arrange for each of the Controlling Persons listed in Section 6.1 to complete a separate 'Individual (including Controlling Persons) Self-Certification for FATCA and CRS' form for each Controlling Person listed in Section 6.1.

## Section 7: Declarations and Undertakings

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

I/We confirm (where applicable) that an 'Individual (including Controlling Persons) Self-Certification for FATCA and CRS' form has been completed, signed and provided for each Controlling person, as defined under the CRS and FATCA regulations.

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

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

\*Authorised Signature(s): 

\*Print Name(s): 

\*Capacity in which declaration is made: 

\*Date of signature (dd/mm/yyyy): 

## Section 4 – (ii) – AEOI FATCA and CRS Individual (including Controlling Persons) Self-Certification

### Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the 'GDPR') and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD website at:  
[www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx](http://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx)  
[www.oecd.org/tax/automatic-exchange/common-reporting-standard/](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/) in the case of CRS only.

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

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

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

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

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

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

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

**\*Current Residential Address:**

Number:

Street:

City, Town, State, Province or County:

Postal/ZIP Code:

Country:

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

Number:

Street:

City, Town, State, Province or County:

Postal/ZIP Code:

Country:

**\*Place and Date of Birth**

\*Town or City of Birth:

\*Country of Birth:

\*Date of Birth:

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

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

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

**OR**

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

**\*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies including Citizenship and Residency by Investment disclosure.**

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and All associated tax identification numbers ('TINs')).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal:

[www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759](http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759)

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

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

**OR**

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

Please list **ALL** Tax ID Numbers below:

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

If a TIN is unavailable, please confirm the reason why below by ticking A, B or C 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)

**Reason C -** No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Please tick this box to confirm you have specified **all jurisdictions** in which you are resident for tax purposes.

### 3.1 Citizenship/Residency by Investment (CBI/RBI)

Citizenship by Investment (CBI) and Residency by Investment (RBI) schemes are offered by a number of jurisdictions and allow foreign individuals to obtain citizenship or temporary/permanent residency rights based on local investments or against a flat fee. In this regard, the OECD have identified specific jurisdictions that operate CBI/RBI schemes which could potentially pose a high-risk to the integrity of CRS.

If, in this Section 3, you have confirmed that you are resident **only** in one or more of these specific jurisdictions (and not in any other jurisdiction), we are required to determine whether your citizenship/residency rights were obtained through a CBI/RBI scheme. If so, we must collect additional information.

For further details, including the list of jurisdictions and relevant CBI/RBI schemes, please refer to the OECD website: [www.oecd.org/en/topics/sub-issues/international-standards-on-tax-transparency/residence-citizenship-by-investment.html](http://www.oecd.org/en/topics/sub-issues/international-standards-on-tax-transparency/residence-citizenship-by-investment.html)

**Please select one of the following options:**

**Option 1:** I confirm that I am either **not resident or not solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity. (If you select this box, no further information is required in this section – please proceed to Section 4, if applicable)

**Option 2:** I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity but **I did not receive my residence rights under a CBI/RBI scheme**. (If you select this box, no further information is required in this section – please proceed to Section 4, if applicable)

**Option 3:** I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity **and I solely obtained my residence rights** in these jurisdictions under one or more CBI/RBI schemes. (If you select this box, please complete Section 3.2)

### 3.2 CBI/RBI additional queries where an Account holder or Controlling person has obtained citizenship or residency in an OECD CBI/RBI high risk jurisdiction.

(Additional questions to be completed ONLY where option 3 above has been ticked).

Do you hold residence rights in any other jurisdiction(s)?

No

Yes (If yes, list the jurisdiction(s))

Have you spent more than 90 days in any other jurisdiction(s) during the previous year?

No

Yes (If yes, list the jurisdiction(s))

In which jurisdiction(s) have you filed your personal income tax returns during the previous year? (List the jurisdiction(s) below)

#### 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 NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling Person(s) please complete a separate 'Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form' for **each** Controlling Person.

Controlling Person of a Legal Person	Please tick all that apply	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	Please tick all that apply	Entity Name
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)	Please tick all that apply	Entity Name
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: [oecd.org/tax/automatic-exchange/](http://oecd.org/tax/automatic-exchange/)  
And on the Irish Revenue website: [www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx](http://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx)

\*Authorised Signature: 

\*Print Name: 

\*Date of signature (dd/mm/yyyy): 

\*Capacity (if Controlling Person): 

## Section 5 – Anti-Money Laundering Requirements

### Anti-Money Laundering verification requirements

Anti-Money Laundering (AML) due diligence requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 - 2021.

#### Guide to completing this form

- **Part I** – To be completed by all applicants.
- **Part II** – To be completed by all applicants.
- **Part III** – All applicants to provide AML due diligence documentation outlined below (as per investor type) in order to establish the identity of an investor and verify same to the extent warranted by risk.

Anti-Money Laundering documentation must be provided in advance before an account can be opened.

### PART I - Due Diligence Information - Purpose of the Investment

Part I A to be completed only by natural persons and legal persons investing in their own name for their own benefit. Institutional investors and legal entities investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties must tick Part I B. This information is required to meet our AML obligations under the current AML legislation in Ireland and will be used solely for those purposes.

#### Part I A

What is the expected annual subscription to the Fund?

How frequent do you expect to trade in the Fund (please tick):

Once-Off Subscription  Once a month  Once a quarter  Once a year

If more frequently than the options provided, please provide an estimate of frequency:

Please indicate the term of your investment (please tick):

3-5 years  5-10 years  10+ years

#### Natural Persons only:

Source of Wealth (activities that generated total net worth):

\*Confirmation of Source of Wealth requires the Subscriber to confirm the bank account from which funds were generated as well as the specific activity that generated the funds subscribed (e.g. salary payments, sale of shares etc.)

Source of Funds (activity that generated transaction funding):

\*Confirmation of Source of Funds requires the Subscriber to confirm the activities that have generated the total net worth of the Subscriber with reasonable collaboration of same (e.g. information and documents such as evidence of title; copies of trust deeds; audited accounts and tax returns).

#### Part I B

Institutional investor/ legal entity investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties. If no, see Part 1 A.

Yes  No

## PART II

### Due Diligence Documentation - Investor Type

Please tick investor type below (please note, investor type indicates the documents/ confirmations required to open account as per Appendix 6):

Private/ Unlisted Company	Charities
Partnership	Trusts/ Foundations
Listed Company	Collective Investment Scheme/Fund
Subsidiary of a Listed Company	School, college or university
Regulated Credit or Financial Institution	Pension Schemes
Nominee Company	Trade Unions
Government Body or Public Authority	Church
Individual	Other (please specify):

Occupation/Business Activity:

Are you, or any beneficial owners, are a Politically Exposed Person?

Yes      No

A Politically Exposed Person ('PEP') means an individual (or family member or close associate of such individual) including a beneficial owner of an investment account, who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function (e.g. this can include but not limited to: head of state / government, government / deputy minister, member of parliament, senior official of a political party or member of the supreme court).

If the application form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature along with due diligence in line with legal type.

### Due Diligence Documentation - Leverage Across Investments

I hereby authorize 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 the Administrator.

Yes      No

### Due Diligence Documentation - Ultimate Beneficial Owner

Please complete the relevant section to your entity type. The Ultimate Beneficial Owner section must be completed. Non-completion could delay acceptance of subscription.

#### All Entities

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 control of the entity. Where there is no person identified as beneficial owner, the natural person(s) who hold the position of senior managing official(s)/director(s) will be deemed the beneficial owners.

\* In cases where shareholder(s) are entities with 25% or more ownership or control, please provide the details of individual(s) who hold beneficial ownership 25% or more. For Trusts or similar arrangements, Ultimate Beneficial Owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement.

Please complete the below regarding Ultimate Beneficial Owner(s):

Name	Address	% Ownership or control	Nationality	Date of Birth

For Trusts or similar arrangements, where the beneficiaries are not yet been determined, the class of persons in whose main interest the trust or similar legal arrangement has been set up should be stated (please provide an additional document/information as required):

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  and insert applicable senior managing official(s) below whom will be deemed the UBO:

Name	Address	Nationality	Date of Birth

### Related Person Detail

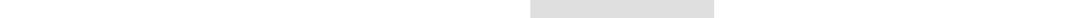
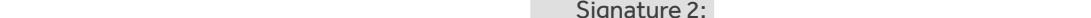
Full names of all Related Persons:

- In the case of natural persons, Related Persons means any person authorised to act on behalf of the investor
- 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 legal arrangement, 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.

Please complete the below:

## 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:		Signature 2:	
Print name:			
Date:			

## **Part III - Investor AML Due Diligence Documentation Requirements (all investors - provision in advance)**

Outlined below is guidance on the documentation which the Fund / 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. AML documents must be provided in advance before an account can be opened.

The Fund / Manager & Northern Trust (as 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.
- 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 3 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 3 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 3 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).

### **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 that can be independently verified.

#### **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.
- A person authorised to sign on behalf of an Embassy or a Consul.
- A practicing Barrister

#### **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:** 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 3:** 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 4:** 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.

### **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.

### **Letter of Assurance**

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

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

### **Equivalent Jurisdictions (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**

Australia, Austria, Argentina, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Guernsey, Hong Kong, Ireland, Isle of Man, Israel, Italy, Japan, Jersey, Luxembourg, Malaysia, Netherlands (including Aruba, Curacao and Saint Martin), New Zealand, Norway, Portugal, Republic of Korea, Singapore, South Africa, Spain, Sweden, Switzerland, United Kingdom and United States.

### **Deemed High Risk Countries**

Afghanistan, Albania, Azerbaijan, Bahamas, Barbados, Belarus, Benin, Bolivia, Bosnia and Herzegovina, Botswana, Burundi, Burkina Faso, Cambodia, Cayman Islands, Central African Republic, China, Comoros, Congo (Republic of the), Cyprus (Greek Cypriot administered), Cyprus (Turkish Cypriot administered), Ecuador, Egypt, Ghana, Gibraltar, Guinea, Guinea Bissau, Haiti, Iraq, Jamaica, Jordan, Laos, Latvia, Lebanon, Liberia, Libya, Mali, Mauritius, Montenegro, Morocco, Myanmar (Burma) Nicaragua, Pakistan, Palestinian Territories, Panama, Philippines, Russia, Senegal, Serbia, Somalia, South Sudan, Trinidad and Tobago, Tunisia, Turkey, Uganda, Vanuatu, Venezuela, Western Sahara, Yemen and Zimbabwe.

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

### **Regulated Credit or Financial Institution**

**Where the applicant is a Regulated Credit or Financial Institution in one of the above referenced Equivalent Jurisdictions, please provide the following:**

- 1.** Proof of regulation.
- 2.** A letter of assurance from the Regulated Credit or Financial Institution.
- 3.** Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity must be identified (along with address, date of birth and nationality).
- 4.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

**Where the applicant is a Regulated Credit or Financial Institution but is not regulated in an Equivalent Jurisdiction, please provide the following:**

- 1.** Full name of the company.
- 2.** Registered number of the company.
- 3.** Registered office address & principal business address of the company.
- 4.** Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
- 5.** Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.

**6. Evidence of UBO registration on the Beneficial Ownership Register (Irish investors only).**

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

**7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors; and (as applicable) identify and verify any beneficial owner entitled to 25% or more of the investment.**

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

**8. Verification of identity of the company from:**

- 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.**

**10. Due diligence Questionnaire (incl. SOW/SOF for investor and UBO).**

**11. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.**

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

**Nominee Company**

**Where the applicant is a Regulated Nominee Company from one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Proof of regulation.
2. A letter of assurance from the regulated nominee company
3. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the parent entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).
4. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

**Where the applicant is 1) not directly regulated and 2) a wholly owned subsidiary of a regulated parent entity (in an Equivalent Jurisdiction), please provide the following:**

1. Letter of Assurance from the Regulated Credit or Financial Institution (Parent Company).
2. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).
3. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

**Alternatively, where an acceptable AML letter of assurance can't be provided by the regulated parent company with respect to the nominee company, please provide the following:**

1. Full name of the nominee company.
2. Registered number of the nominee company.
3. Registered office address & principal business address of the nominee company.
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Proof of regulation for the Regulated Parent Company.

6. Identify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity (investor) must be identified.
7. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the nominee company is not a subsidiary of a regulated parent company, verify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.
8. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable), identify and verify any beneficial owner entitled to 25% or more of the investment through the nominee company.  
Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
9. Verification of identity of the company from:
  - 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:**

10. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.
11. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO).
12. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

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

**Listed Company**

**Where the applicant is a Listed Company on a regulated market (e.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:**

1. Please provide proof of listing on a Regulated Market.

**Where the applicant is not a Listed Company on an above referenced regulated market, please provide the following:**

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered office address & principal business address of the company.
5. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
7. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).
8. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.  
Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

**9. Verification of identity of the company from:**

- 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:**

- 10. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.**
- 11. Due diligence Questionnaire (incl. SOW/SOF for investor and UBO)**
- 12. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.**

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

**Subsidiary of a Listed Company**

**Where the applicant is a Subsidiary of a Listed Company on a regulated market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:**

- 1. Proof of listing for the listed parent company on a Regulated Market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions).**
- 2. Evidence of ownership by the listed company.**
- 3. Identify the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (along with address, date of birth and nationality).**
- 4. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).**

**Where the parent company is not a Listed Company on an above referenced regulated market, please provide the following:**

- 1. Full name of the subsidiary company.**
- 2. Registered number of the subsidiary company.**
- 3. Registered office address & principal business address of the subsidiary company.**
- 4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.**
- 5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.**
- 6. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only)**

**Note:** Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

- 7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.**

**Note:** Where the beneficial owner of the investment or the subsidiary company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

- 8. Verification of identity of the company from:**

- 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.
10. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)
11. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

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

**Government / Public Body**

**Where the applicant is a Government/ Public Body in Ireland, please provide the following:**

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

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

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered office address.
4. Name of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority and verify the identity of two officials or, where applicable, one official and one authorised signatory.
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. Identify and verify the identity of at least two directors or, where applicable, one director and one authorised signatory and evidence of authorisation to act on the customer's behalf.
9. Certified copy of the audited financial statements of the government body or public authority.
10. Due Diligence Questionnaire (incl. SOW/SOF for investor).

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

**Pension Scheme**

**Where the applicant is an Employee/Superannuation or similar scheme in one of the above referenced Equivalent Jurisdictions, 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.

Note: The above can be confirmed through constitutional documentation of the scheme or through receipt of written confirmation from the trustees of the scheme.

**Where the applicant is not an Employee/ Superannuation or similar scheme in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Full name of the pension scheme.
2. Registered office 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.
  - Or
  - Identity of the controllers (trustees/ directors/ governors /board members or equivalent) of the scheme; and

- Constitutional/Formation Document (e.g. Trust Deed); and
- Appropriate background information.
- Identify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
- Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

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

4. Identify and verify the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); or
5. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.
6. Identify any beneficial owner beneficially entitled to 10% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.
7. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

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

**Collective Investment Scheme**

**Where the applicant is a Collective Investment Scheme ('CIS') regulated as a designated person or listed on a regulated financial market in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Please provide proof of regulation/listing.
2. Names of any investors (beneficial owners) in the CIS who own 25% or more (directly or indirectly) of the share capital. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
3. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

**Where the CIS is not either listed on a regulated financial market (as above) or regulated as a designated person in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent.
4. Name and address of the scheme promoter.
5. Name and address of the scheme administrator.
6. Name and address of the entity carrying out due diligence on the investors in the CIS and evidence that this entity is regulated for AML purposes.
7. Names of any investors (beneficial owners) in the CIS who own 25% or more (directly or indirectly) of the share capital. Where CIS is a corporate body and there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified.
8. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

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

9. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO).
10. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; or
11. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.
12. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.

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

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

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

- 1.** Photographic identity document.
- 2.** Proof of address.

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

- 3.** Due Diligence Questionnaire (incl. Source Wealth and Source of Funds).

**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.**

## **Private and Unlisted Company**

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

- 1.** Full name of the company.
- 2.** Registered number of the company.
- 3.** Registered office address & principal business address of the company.
- 4.** Details of the directors of the company and verify the identity of at least two directors or, where applicable, one director and one authorised signatory.
- 5.** Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified.
- 6.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).  
Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
- 7.** Verification of identity of the company from:
  - 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.** Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.
- 9.** Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

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:**

- 1.** Full name of the LLC.
- 2.** Registered office address & principal business address of the LLC.
- 3.** Identify all managing members
- 4.** Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.

5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
6. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).  
Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Constitutional document for the LLC (e.g. Certificate of Formation).
8. Operating agreement for the LLC.

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

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ managing members(s) of the entity must be identified and verified.

10. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

**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, please provide the following:**

1. Full name of the partnership.
2. Registered office address & principal business address of the partnership.
3. Identify all partners.
4. Verify the identity of all partners who own 25% or more (directly or indirectly) of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund. Where there is no partner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
5. Verify the identity of the general partner and a second partner (or in the absence of same an authorised signatory).
6. Evidence of UBO Registration on the Beneficial ownership Register (Irish investors only).

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure.).

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 is also required:**

8. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO).
9. Identify and verify the identity of any partner who own more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the partnership. Where there is no partner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/partner(s) must be identified and verified.

**Where the applicant not a Partnership Fund or is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

**Trust**

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

1. Full name of trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.

5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor.
8. Identify and verify the protector.
9. Identify all beneficiaries or the class of beneficiary beneficially entitled to trust's assets or the beneficial interest  
(Note: Verification of the beneficiaries may be required by the administrator to the extent warranted by the risk). Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
10. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

**Where the applicants are not Regulated Trustees investing on behalf of a Trust, or where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

11. Verify the identity of the beneficiaries beneficially entitled to trust's assets or beneficial interest. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ trustee(s) of the entity must be identified and verified.
12. Confirmation as to how the settlor was in a position to make the investment.
13. Due Diligence Questionnaire (incl. SOW/SOF for investor and settlor)
14. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

**Where the applicants are not Regulated Trustees investing on behalf of a Trust or where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

## Foundation

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

1. Full name of the foundation.
2. Registered address of the foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents equivalent OR confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder, and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable.
7. Identify and verify any beneficiary beneficially entitled to 25% or more of the foundation's assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity should be identified.
8. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).  
Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

**Where the applicants are not Regulated Trustees investing on behalf of a Foundation or similar entity, or where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

9. Confirmation of the funding of the foundation.
10. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)
11. Identify and verify the identity of the beneficiaries who hold more than 10% of the beneficial interest. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity should be identified and verified.

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

## **Charity**

**Where the applicant is a registered Charity, please provide the following:**

- 1.** Full name of the charity.
- 2.** Nature/purpose of the charity
- 3.** Nature and source of funding of the charity
- 4.** Registered office address & principal business address of the charity.
- 5.** Names of all trustees/directors (or equivalent) of the charity.
- 6.** Identify and verify the identity of the company secretary or equivalent or, where applicable, verify the identity of one of the trustees.
- 7.** (If a charitable trust), details of the settlor of the charitable trust.
- 8.** Names or classes of persons who stand to benefit from the objects of the charity, or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
- 9.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).
- 10.** Copy of relevant charities register or confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/ HMRC).

**Where the applicant is not a registered Charity or where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

- 11.** Certified copies of the audited financial statements.
- 12.** Certified constitutional/ formation document of the charity.
- 13.** Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO (if applicable), and jurisdictions funds are received from and paid to where not already evident).
- 14.** Identify and verify the identity of the beneficiaries (where ascertainable) of the charity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified and verified.
- 15.** Identify and verify the settlor, where applicable.

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

## **Club or Society**

**Where the applicant is a Club or Society, please provide the following:**

- 1.** Full name of the club/society.
- 2.** Registered office address & principal business address of the club/society.
- 3.** Confirmation of the legal status of the Club/Society.
- 4.** Nature/Purpose including the nature of funding of the club/society.
- 5.** Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or confirmation of a relevant club/ society register.
- 6.** List of officers of the club/society.
- 7.** Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.
- 8.** Names or classes of persons who stand to benefit from the Club or Society, or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
- 9.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

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

- 10.** Audited financial statements for the Club/Society.
- 11.** Constitutional/ formation document of the club/society.
- 12.** Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO).

**13.** Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.

Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.

**14.** Confirmation of the funding of the club or society.

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

### **School, College or University**

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

- 1.** Full name of the School, College or University.
- 2.** Registered office address & principal business address of the School, College or University.
- 3.** Confirmation of a relevant School, College or University register or appropriate background information.
- 4.** Names of main officials of the school.
- 5.** Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.
- 6.** Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
- 7.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).
- 8.** Identify and verify the settlor, where applicable.

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

- 9.** Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.

**10.** Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO/Settlor)

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

### **Church**

**Where the applicant is a Church, please provide the following:**

- 1.** Full name of the Church.
- 2.** Registered office address & principal business address of the church.
- 3.** Confirmation of the nature/purpose of the Church with details of how the Church is funded.
- 4.** Confirmation of a relevant church register or a copy of the revenue approval for the church;
- 5.** Names of all trustees/directors (or equivalent) of the church.
- 6.** Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
- 7.** Names or classes of persons who stand to benefit from the objects of the church (where ascertainable) ; or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
- 8.** Identify and verify the settlor where applicable.
- 9.** Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

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

- 10.** Audited financial statements for the church.
- 11.** Constitutional/formation document of the church.
- 12.** Due Diligence Questionnaire (incl. SOW/SOF for investor and settlor if applicable).
- 13.** Identify and verify the beneficiaries (where ascertainable) of the church. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified and verified.

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

## Trade Union

### Where the applicant is a Trade Union, please provide the following:

1. Full name of the Trade Union.
2. Registered address of the trade union.
3. Establish 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. Names or classes of persons who stand to benefit from the Trade Union: or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
5. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).
6. Consider the legal form of the trade union, its stated purpose, aims and objectives using information from documents supplied for the trade union and through internet searches.
7. Deed or equivalent establishing the existence of the trade union (for example its constitution, bye-laws, rules).
8. Identify all persons and their functions who are empowered to make the investment on behalf of the trade union (president, secretary, treasurer and other senior committee members).

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

9. Identify and verify the identity of at least two senior committee members of the trade union
10. Due Diligence Questionnaire (incl. SOW/SOF for investor)
11. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.

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

## Section 6 – Data Protection Notice

### Introduction

When your details are provided to Canaccord Genuity Investment Funds plc (the **Company**) as a consequence of your investment in the Company, then the Company, acting as data controller, may itself (or through a third party such as Northern Trust International Fund Administration Services (Ireland) Limited (the **Administrator**) ) acting as a data processor in its capacity as the Company's administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners.

When processing your personal information, there may also be times where the Administrator will act as an independent data controller in respect of your personal information, which will be described in the Administrator's own Data Protection Notice, which is linked below.

This Data Protection Notice (this **Notice**) sets out how the Company will process your personal information. The Company uses your personal data only for the purposes and in the manner set forth below which describes the steps taken to ensure the processing of your personal data is in compliance with the General Data Protection Regulation (EU) 2016/679 (GDPR) as amended or replaced from time to time and any implementing legislation (**Data Protection Legislation**).

**Please note: you have the right to object to the processing of your personal data where that processing is carried out for our legitimate interests.**

### Scope

This Data Protection Notice applies to you and to third parties whose information you provide to us in connection with our relationship with you. Please ensure that you provide a copy of this Data Protection Notice to any third parties whose personal data you provide to us. This Data Protection Notice applies to all personal data processed by us regardless of the media on which it is stored. The Company may update this Data Protection Notice at any time and will notify you in writing of any changes.

## **Nature, purpose & legal basis for processing**

Personal data is any data relating to a living person who can be identified directly from that data, or indirectly in conjunction with other information. The Company or the Administrator will hold some or all of the following types of personal data: name, address, date of birth, marital status, bank details, telephone recordings. Your personal data may be processed by the Company or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) This personal data will be used for the purposes of administration, transfer agency, statistical analysis and research, in particular:

- to facilitate the opening of your account with the Company, the management and administration of your holdings in the Company and any related account on an on-going basis (the 'Services') which are necessary for the performance of your contract with the Company, including without limitation the processing of subscription, redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- in order to carry out anti-money laundering checks and related actions which the Company considers appropriate to meet any legal obligations imposed on the Company relating to, or the processing in the public interest or to pursue the Company's legitimate interests in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company and the Administrator's anti-money laundering procedures;
- to report tax related information to tax authorities in order to comply with a legal obligation;
- to monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Company and its affiliates' rights, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Company, (v) to pursue the legitimate interests of the Company in relation to such matters; or (vi) where the processing is in the public interest;
- to disclose information to other third parties such as service providers of the Company, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Company or in order to pursue the legitimate interests of the Company;
- to monitor and record call for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery;
- to update and maintain records and fee calculations in order to pursue the legitimate interests of the Company or in order to comply with any legal obligation imposed on the Company, and which are necessary to comply with the Company's legal obligations and/or which are necessary for the Company's legitimate interests indicated above and/ or where the processing is in the public interest;
- to carry out statistical analysis and market research to pursue the legitimate interests of the Company to improve its service delivery.

Personal data will only be processed to the extent necessary for the purposes set out above for the Company's legitimate business interests. The Company and the Administrator will also process personal data as necessary to comply with the Company's legal obligations. The Company or the Administrator will inform you in advance if it is intended to further process your personal data for a purpose other than as set out above. The Company or the Administrator may also seek your specific consent to the processing of personal data for other specific purposes. You will have the right to withdraw such consent at any time.

If you do not provide us with your personal data, the Administrator may not be able to process your investor application. The Administrator will tell you when seeking information from you which is pursuant to a contractual requirement or needed to comply with the legal obligations of the Company or the Administrator. Where the Company are relying on your consent to use your personal data, withdrawal of consent may mean that the Company has the right to redeem your shares.

## **Automated processing**

As part of the Company's business and ongoing monitoring, the Company may from time to time carry out automated decision-making in relation to you, including profiling of investors, and this may result in an investor being identified to the Irish Revenue Commissioners and law enforcement authorities, and the Company terminating its relationship with you.

## Recipients of Investor Personal Data

The Company may disclose your personal data as follows:

- to the Company's service providers, including the Administrator, and their affiliates, and other third party service providers engaged by the Company and their affiliates, in connection with the requirement, oversight, safekeeping, distribution or operation of the Company, in order to store or process the data for the above mentioned purposes;
- the Central Bank of Ireland;
- to competent authorities (including financial advisors, tax authorities, regulatory bodies, auditors, technology providers, courts and bodies as required by law or requested or to affiliates for internal investigations and reporting).

When processing your personal data, there may be times when the Administrator will act as data controller of your personal information in pursuance of the Administrator's, its affiliates' or its clients' legitimate interests and to meet any legal obligations imposed on the Administrator or its affiliates. In any case where the Company shares your personal information with a third-party data controller (including, as appropriate, the Administrator and its affiliates), the use by that third party of your personal information will be subject to the third party's own privacy policies. The Administrator's privacy policy may be accessed at: <https://www.northerntrust.com/united-states/privacy/emea-privacy-notice>

## Transfers of personal data outside the European Economic Area (EEA)

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the EEA in accordance with the requirements of the Data Protection Legislation. Personal data is currently being sent to the USA, India and the Philippines. Such countries may not have the same data protection laws as your jurisdiction. Where such countries are not recognised as having an adequate level of data protection by the Data Protection Legislation, the Company (i) has, or has authorised the Administrator as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred; (ii) acknowledges that the personal data will be transferred in accordance with the Binding Corporate Rules which have been adopted by the Northern Trust Group. Please contact the Company or the Administrator for copies of (i) the Standard Contractual Clauses that have been entered into on behalf of the Company and/or (ii) the Northern Trust Binding Corporate Rules.

## Security, storage and retention of personal data

The Company takes all reasonable steps as required by Data Protection Legislation to ensure the safety, privacy and integrity of your personal data. The Company will retain your personal data for as long as is necessary to carry out the purposes for which the data was collected, or perform investigations in relation to the same and/or for additional periods where legal/regulatory obligations mandate that the Company or the Administrator retains your personal information.

## Your rights

You have a right to obtain a copy of, and the right to rectify any inaccuracies in the personal data held about you by making a request to us in writing. You also have the right to request erasure, restriction, portability or object to the processing of your personal data or not to be subject to a decision based on automated processing, including profiling. You should inform us of any changes to your personal data. Any requests made under this section can be made using the details set out at 'Contact Us' below. The Company will respond to your request in writing, or orally if requested, as soon as practicable and in any event not more than one month after receipt of your request.

Where you have provided your consent to processing, you may withdraw your consent at any time by contacting the Company by email at the following address [CGWMFundOperations@canaccord.com](mailto:CGWMFundOperations@canaccord.com).

You have the right to lodge a complaint, with the Data Protection Commission if you consider that the processing of personal data relating to you carried out by the Company infringes the Data Protection Law.

## Contact us

If you have any queries regarding this data protection notice, please contact the Company by email at the following address [CGWMFundOperations@canaccord.com](mailto:CGWMFundOperations@canaccord.com).

Please ensure that you provide a copy of this Data Protection Notice to any third parties whose personal data you provide to the Company. The Company may update this Data Protection Notice at any time and will notify you in writing of any changes.

## Section 7 – Representations and Warranties

1. I/We confirm that I am/we are 18 years of age or over.
2. I/We, having received and considered a copy of the current KIID, Prospectus, any relevant supplements thereto and the most recent annual and/ or semi-annual report of the Company, 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.
3. I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the KIID, Prospectus and the relevant Supplements thereto, 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, the relevant Supplements and the most recent annual or semi annual report (if available) thereto.
4. I/We agree to notify the Company or the Administrator immediately if I/we become aware that any of the representations is no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct, including where appropriate, the redemption of my/ our holding in its entirety. I/We agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
5. 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 Company.
6. I/We understand that the tax disclosure set forth in the Prospectus and the relevant Supplements thereto 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.
7. I/We acknowledge the right of the Company at any time to require the mandatory redemption of Shares as provided in the Prospectus and in the relevant Supplements thereto.
8. I am/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans ('ERISA Plans') subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended ('ERISA'), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a 'plan' in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively 'Qualified Plans'), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.
9. 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.
10. 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 and the potential difficulties in selling or transferring my/our Shares for an indefinite period of time. 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.
11. I/we hereby acknowledge that any notice, information or document may be served by the Company on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000 as amended, if I have provided an email address or fax number to the Administrator or the Company or other delegates, we hereby agree to any such non-encrypted notice, document, statements and other reports that may be issued from time to time by the Company or its delegates, being sent to me/us by fax or electronically to the fax number or email address previously identified to the Company or its delegate which we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I am/we 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 Company or Administrator 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 Company of written notice of such revocation.
12. The Administrator and the Company 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 by fax, electronic or other means. If the instructions are given by me/us by facsimile I/we undertake to confirm them in writing immediately.
13. The Company and the Administrator will ensure that appropriate safeguards are put in place with respect to transmission of instructions given by fax, electronic or other means, however I/we acknowledge that despite the appropriate safeguards implemented by the Company, there may be residual risk involved with instructions by fax and / or electronic dealing facilities, and it cannot be fully ruled out that the information transmitted via fax, emails or other similar electronic communication means may become accessible for third parties, and that the exchange of information can be delayed or interrupted due to transmission errors, technical faults, interruptions, malfunctions, illegal interventions, network overload, the malicious

blocking of access by third parties, or other shortcomings on the part of the network provider. I/We hereby agree to indemnify each of the Administrator and the Company (on its own behalf and as agent of the Company) and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon instructions transmitted via fax, emails or other similar electronic communication.

- 14.** The Administrator and the Company 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.
- 15.** I/We acknowledge that due to anti-money laundering requirements operating within their jurisdiction the Administrator and the Company (as the case may be) may require further identification of the applicant(s) before a request can be processed and the Administrator and the Company shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been required by the parties referred to and has not been provided by me/us or has been provided in incomplete form.
- 16.** I/we warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- 17.** I/We request that the Shares issued pursuant to this application are registered in the name(s) and address set out above.
- 18.** 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.
- 19.** (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.
- 20.** I/We consent to personal information obtained in relation to me/us being handled by the Administrator, the Company, the Depositary, the Investment Manager, the Distributors and their delegates, agents or affiliates in accordance with the General Data Protection Regulation (697/2016/EU) (the 'GDPR') and applicable Irish data protection legislation (currently the Irish Data Protection Act 2018). Information in relation to me/us will be held, used, disclosed and processed for the purposes of (a) managing and administering my/our holdings in the Fund and any related account on an ongoing basis; (b) for any other specific purposes where I/we have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal or regulatory obligations including legal obligations under company law and anti-money laundering legislation; (e) for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including my/our financial adviser (where appropriate), regulatory bodies, auditors, technology providers or to the Fund and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) or for other legitimate business interests of the Company. I/we hereby acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. I/we understand that the Company is a data controller and will hold any personal information provided by me/us in confidence and in accordance with the General Data Protection Regulation (697/2016/EU) (the 'GDPR') and applicable Irish data protection legislation (currently the Irish Data Protection Act 2018). I/we consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Company, Depositary, the Investment Manager or the Distributors and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. I/we consent to the Company, the Investment Manager or the Distributors sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/we understand that we have a right not to receive such information.
- 21.** I/We hereby authorise the Company and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Company for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- 22.** I/We confirm that I/we am/are not a U.S. Person as defined in the Prospectus and I/we am/are outside the United States and am/are not acquiring Shares on behalf of, or for the benefit of, a U.S. Person nor do I/we intend to sell or transfer any Shares which I/we may purchase to any person who is a U.S. Person.
- 23.** I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by either (i) the Foreign Account Tax Compliance Act ('FATCA') and Common Reporting Standards ('CRS') regulations or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ('IGA') so as to ensure compliance or deemed compliance (as the case may be) with the FATCA and CRS regulations or the IGA from 1 July 2014 (together AEOI). In particular I/We acknowledge that the information contained in this form and information regarding the investor may be reported to the tax authorities of the country in which this account is maintained and exchanged with the tax authorities of another country or countries in which the investor may be tax resident where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information.

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

**25.** I/We acknowledge that the Company may temporarily borrow an amount equal to the subscription, subject to the Fund's borrowing limits and invest the amount borrowed in accordance with the investment objective and policies of the Fund. Once the required subscription monies have been received, the Company may use this to repay the borrowings. In the event of failure by me/us to settle the subscription monies on a timely basis, the Company reserves the right to charge me/us for any interest or other costs incurred by the Company as a result of this borrowing; the Company also reserves the right to reverse any allotment of Shares. If I/we fail to reimburse the Company for those charges, the Company will have the right to sell all or part of my/our holdings of Shares in the Fund and I/we shall be liable for any related charges and/or loss suffered by the Company in the event that the redemption proceeds are less than the amount originally subscribed.

**26.** I/We acknowledge and agree that payment of redemption proceeds in respect of a particular Fund is subject to receipt by the Administrator of original subscription documents and compliance with all anti-money laundering procedures and that notwithstanding this, as a redeeming Shareholder, I/we will cease to be a Shareholder, with regard to the redeemed Shares, and will be unsecured creditors of the particular Fund, from the relevant Dealing Day. In such circumstances, any sums payable by way of dividend to me/us shall remain an asset of the Fund until such time as the Administrator has verified my/our identity to its satisfaction, following which such dividend will be paid. I/We further acknowledge that pending dividends and redemptions, including blocked redemptions, will, pending payment to the relevant Shareholder, be held in the umbrella cash subscriptions, dividends and redemptions account ('Umbrella Cash Account') in the name of the Company. I/we acknowledge and agree that such amounts will constitute a debt due to me/us from the relevant Fund, as and from the relevant Dealing Day, and will not be held on trust for me/us pending payment of any dividend and/or redemption proceeds.

**27.** I/We acknowledge that subscription monies received in respect of a Fund in advance of the issue of Shares will be held in the Umbrella Cash Account in the name of the Company and will be treated as an asset of the relevant Fund. I/We further acknowledge that as an investor I/we will be unsecured creditors of the relevant Fund with respect to the amount subscribed and held by the Company until Shares are issued on the Dealing Day and, as such, I/we will not benefit from any appreciation in the Net Asset Value of the relevant Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. I/We further acknowledge that in the event of an insolvency of the Fund or the Company, there is no guarantee that the Fund or Company will have sufficient funds to pay unsecured creditors in full. I/We further acknowledge that in the event of the insolvency of another Fund of the Company (the Insolvent Fund), recovery of any amounts held in the Umbrella Cash Account to which another Fund is entitled (the Entitled Fund), but which may have transferred to the Insolvent Fund as a result of the operation of the Umbrella Cash Account, will be subject to the principles of Irish insolvency law and the terms of the operational procedures for the Umbrella Cash Account and, consequently, there may be delays in effecting and/or disputes as to the recovery of such amounts, and the Insolvent Fund may have insufficient funds to repay amounts due to the Entitled Fund.

**28.** I/We acknowledge that I/we have received and read the Data Protection Notice set out in Section 6.

**29. Please mark relevant boxes below.**

I/We hereby confirm (such confirmation to apply on an ongoing basis for the duration of my/our investment in the Fund) that I/we am/are one of the following (please tick as appropriate):

An investor who is a professional client within the meaning of Annex II of **MiFID II** set out in Appendix 1 and possesses the experience, knowledge and expertise to make its own investment decision, and properly assess the risks that it incurs; and/or

An investor who is based outside the EEA; and

Accordingly, I/we are not (and are not investing as nominee or otherwise for and on behalf of) an EEA retail investor for the purposes of the EU Regulation on Key Information Documents for Packaged Retail and Insurance-based Investment Products (EU 1286/2014) (the '**PRIIPs Regulation**'), and I/we further acknowledge and agree that no key information document required by the **PRIIPs Regulation** for offering or selling the Fund or otherwise making it available to retail investors in the EEA has been prepared or will be made available to me/us.

If you do not wish to receive marketing material please tick the box below.

Please do not send me/us\* any further information on other products and services.

**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. \_\_\_\_\_

\_\_\_\_\_

**IMPORTANT**

RETAIL INVESTORS - IN THE CASE OF ALL JOINT HOLDERS – ALL HOLDERS MUST COMPLETE THIS DECLARATION & PROVIDE A VALID PROOF OF IDENTIFICATION.

INSTITUTIONAL INVESTORS - IN THE CASE OF CORPORATE INVESTORS – A VALID SIGNATURE LIST MUST BE PROVIDED AT ACCOUNT OPENING.

## Data Protection Customer Information Notice

For the purposes of complying with its automatic exchange of information obligations under the OECD Common Reporting Standard (CRS) as implemented in Irish law the Company is required to collect certain information in respect of each investor, and in respect of certain Controlling Persons in the case of the investor being an Entity rather than an individual, (e.g. name, address, jurisdiction of residence, tax identification number (TIN), date and place of birth (as appropriate), the 'account number' and the 'account balance' or value at the end of each calendar year) so as to identify 'accounts' which are reportable to the Irish Revenue Commissioners under the CRS. Such information may in turn be exchanged by the Irish Revenue Commissioners with the tax authorities of other jurisdictions in accordance with the requirements of the CRS. Further information in relation to CRS can be found on the Automatic Exchange of Information (AEOI) webpage on [www.revenue.ie](http://www.revenue.ie)

## Definitions

### Intermediary

An 'Intermediary' means a person who:

- carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons;
- holds units in an investment undertaking on behalf of other persons.

### Residence

#### (1) Individual

An individual will be regarded as being resident in Ireland (the 'State') for a tax year if s/he:

1. spends 183 days or more in the State in that tax year; or
2. has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding.

Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Presence in the State for a day means the personal presence of an individual at the end of the day (midnight).

#### (2) Company

A company which has its central management and control in Ireland (the 'State') is resident in the State irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in the State is resident in the State except where:

- the company or a related company carries on a trade in the State, and either the company is ultimately controlled by persons resident in EU Member States or countries with which the Republic of Ireland has a double taxation treaty, or the company or a related company are quoted companies on a recognised Stock Exchange in the EU or in a tax treaty country; or
- the company is regarded as not resident in the State under a double taxation treaty between the Republic of Ireland and another country.

It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Consolidation Act, 1997 (as amended).

### Ordinary Residence

The term 'ordinary residence' as distinct from 'residence' relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity.

An individual who has been resident in Ireland (the 'State') for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in the State in 2013 and departs from the State in that year will remain ordinarily resident up to the end of the tax year in 2016.

The Company is structured as an open-ended umbrella fund with segregated liability between sub-funds. The Company was incorporated with limited liability as an investment company with variable capital on 26 February 2003 under the laws of Ireland and is authorised by the Central Bank of Ireland (the 'Central Bank') as an undertaking for collective investment in transferable securities pursuant to the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations, 2011 as amended. Such authorisation is not an endorsement or guarantee of the Company by the Central Bank nor is the Central Bank responsible for the contents of the Supplements and the Prospectus. The authorisation of the Company by the Central Bank shall not constitute a warranty as to the performance of the Company and the Central Bank shall not be liable for the performance or default of the Company.

## Appendix 1 – Investment details

Name:

Register number:

I/We the undersigned declare that the Key Investor Information Document (the 'KIID') for the relevant Fund(s) has been provided to me/us in good time prior to making this application for shares and that I/we have read and reviewed the KIID as well as the Prospectus of the Company and its supplements.

I/We the undersigned hereby acknowledge and agree that the up-to-date KIID for each share class of the Fund(s) is available at the Marketing Agents' website [www.canaccordgenuity.com](http://www.canaccordgenuity.com), and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent applications for shares in the Company.

I/We the undersigned acknowledge that by signing this Application Form that I/we give full consent to receiving the KIID by means of electronic communication including these being made available at the Marketing Agents' website.

I/we the undersigned acknowledge that I/we have regular access to the internet and that the provision of information to me/us by means of a website is appropriate.

I/We the undersigned am/are aware that I/we can also obtain upon request and free of charge paper copies of the Prospectus, latest annual and semi-annual reports, KIID and other information from the Administrator at the address above or telephone number above.

I/We the undersigned wish to invest (indicate monetary amount or number of shares below) in the following Sub-Fund(s) and share classes:

Sub-Funds and share classes	ISIN	Minimum Investment*	Subsequent Investment*	Subscription Amount	Number of Shares
<b>Canaccord Genuity Cautious Fund</b>					
A GBP Hedged (Accumulation)	IE00B3BRDN43	\$5,000	\$1,000		
A GBP Hedged (Distribution)	IE00B3BRDP66	\$5,000	\$1,000		
A GBP (Accumulation)	IE0009503339	\$5,000	\$1,000		
A GBP (Distribution)	IE0006NNIIV3	\$5,000	\$1,000		
A USD (Accumulation)	IE00BYPZN970	\$5,000	\$1,000		
A EUR Hedged (Accumulation)	IE00BYPZNB92	\$5,000	\$1,000		
A AUD Hedged (Accumulation)	IE00BFXG4M96	\$5,000	\$1,000		
A CHF Hedged (Accumulation)	IE00BFXG4C98	\$5,000	\$1,000		
A SGD Hedged (Accumulation)	IE000WEX29P5	\$5,000	\$1,000		
R GBP (Accumulation)	IE0009UR4RY2	\$50,000	\$1,000		
R GBP (Distribution)	IE000HIVPE85	\$50,000	\$1,000		
R GBP Hedged (Accumulation)	IE00BYPZND17	\$50,000	\$1,000		
R GBP Hedged (Distribution)	IE00BSJCDX67	\$50,000	\$1,000		
R AUD Hedged (Accumulation)	IE00BFXG4D06	\$50,000	\$1,000		
R CHF Hedged (Accumulation)	IE00BFXG4G37	\$50,000	\$1,000		
T GBP Hedged (Accumulation)	IE00BFXG4H44	\$5,000	\$1,000		
T USD (Accumulation)	IE00BFXG4L89	\$5,000	\$1,000		
<b>Canaccord Genuity Balanced Fund</b>					
A USD (Accumulation)	IE00B3BRDM36	\$5,000	\$1,000		
A GBP (Accumulation)	IE000YLFAFH8	\$5,000	\$1,000		
A GBP Hedged (Accumulation)	IE00BFXG4N04	\$5,000	\$1,000		
A GBP Hedged (Distribution)	IE00BFXG4P28	\$5,000	\$1,000		
A EUR Hedged (Accumulation)	IE00BSJCDW50	\$5,000	\$1,000		
A SGD Hedged (Accumulation)	IE00BFXG4Q35	\$5,000	\$1,000		

Sub-Funds and share classes	ISIN	Minimum Investment*	Subsequent Investment*	Subscription Amount	Number of Shares
<b>Canaccord Genuity Balanced Fund</b>					
A AUD Hedged (Accumulation)	IE00BFXG4R42	\$5,000	\$1,000		
A CAD Hedged (Accumulation)	IE00BFXG4S58	\$5,000	\$1,000		
A CHF Hedged (Accumulation)	IE00BFXG4T65	\$5,000	\$1,000		
H USD (Accumulation)	IE00BNKLLH76	\$5,000,000	\$1,000,000		
H GBP hedged (Accumulation)	IE00BNKLLJ90	\$5,000,000	\$1,000,000		
H EUR Hedged (Accumulation)	IE00BNKLLK06	\$5,000,000	\$1,000,000		
H SGD Hedged (Accumulation)	IE00BNKLLL13	\$5,000,000	\$1,000,000		
R USD (Accumulation)	IE00BYPZP462	\$50,000	\$1,000		
R GBP (Accumulation)	IE000PL0EGG2	\$50,000	\$1,000		
R GBP Hedged (Accumulation)	IE00BFXG4V87	\$50,000	\$1,000		
R GBP Hedged (Distribution)	IE00BFXG4W94	\$50,000	\$1,000		
R EUR Hedged (Accumulation)	IE00BYPZP579	\$50,000	\$1,000		
R SGD Hedged (Accumulation)	IE00BYPZP686	\$50,000	\$1,000		
R AUD Hedged (Accumulation)	IE00BFXG4X02	\$50,000	\$1,000		
R CAD Hedged (Accumulation)	IE00BFXG4Y19	\$50,000	\$1,000		
R CHF Hedged (Accumulation)	IE00BFXG4Z26	\$50,000	\$1,000		
T USD (Accumulation)	IE00BSJCDR08	\$5,000	\$1,000		
T GBP Hedged (Accumulation)	IE00BSJCDS15	\$5,000	\$1,000		
T EUR Hedged (Accumulation)	IE00BSJCDT22	\$5,000	\$1,000		
T SGD Hedged (Accumulation)	IE00BSJCDV44	\$5,000	\$1,000		
<b>Canaccord Genuity Growth Fund</b>					
A USD (Accumulation)	IE00B3BRDJ07	\$5,000	\$1,000		
A GBP (Accumulation)	IE000UIB81N2	\$5,000	\$1,000		
A GBP Hedged (Accumulation)	IE00BFXG5261	\$5,000	\$1,000		
A GBP Hedged (Distribution)	IE00BFXG5378	\$5,000	\$1,000		
A EUR Hedged (Accumulation)	IE00BSJCJL65	\$5,000	\$1,000		
A SGD Hedged (Accumulation)	IE00BFXG5485	\$5,000	\$1,000		
A AUD Hedged (Accumulation)	IE00BFXG5592	\$5,000	\$1,000		
A CAD Hedged (Accumulation)	IE00BFXG5600	\$5,000	\$1,000		
A CHF Hedged (Accumulation)	IE00BFXG5717	\$5,000	\$1,000		
H USD (Accumulation)	IE00BNKLLC22	\$5,000,000	\$1,000,000		
H GBP Hedged (Accumulation)	IE00BNKLLD39	\$5,000,000	\$1,000,000		
H EUR Hedged (Accumulation)	IE00BNKLLF52	\$5,000,000	\$1,000,000		
H SGD Hedged (Accumulation)	IE00BNKLLG69	\$5,000,000	\$1,000,000		
R USD (Accumulation)	IE00BYPZNL90	\$50,000	\$1,000		
R GBP (Accumulation)	IE000D1AWI97	\$50,000	\$1,000		
R GBP Hedged (Accumulation)	IE00BFXG5824	\$50,000	\$1,000		
R GBP Hedged (Distribution)	IE00BFXG5931	\$50,000	\$1,000		
R EUR Hedged (Accumulation)	IE00BYPZNM08	\$50,000	\$1,000		
R SGD Hedged (Accumulation)	IE00BYPZNN15	\$50,000	\$1,000		

Sub-Funds and share classes	ISIN	Minimum Investment*	Subsequent Investment*	Subscription Amount	Number of Shares
<b>Canaccord Genuity Growth Fund</b>					
R AUD Hedged (Accumulation)	IE00BFXG5B56	\$50,000	\$1,000		
R CAD Hedged (Accumulation)	IE00BFXG5C63	\$50,000	\$1,000		
R CHF Hedged (Accumulation)	IE00BFXG5D70	\$50,000	\$1,000		
T USD (Accumulation)	IE00BSJCJG13	\$5,000	\$1,000		
T GBP Hedged (Accumulation)	IE00BSJCJH20	\$5,000	\$1,000		
T EUR Hedged (Accumulation)	IE00BSJCJJ44	\$5,000	\$1,000		
T SGD Hedged (Accumulation)	IE00BSJCJK58	\$5,000	\$1,000		
<b>Canaccord Genuity Opportunity Fund</b>					
A USD (Accumulation)	IE00B3BRDK12	\$5,000	\$1,000		
A GBP (Accumulation)	IE00BFXG5L54	\$5,000	\$1,000		
A GBP Hedged (Accumulation)	IE00BSJCJC74	\$5,000	\$1,000		
A EUR Hedged (Accumulation)	IE00BSJCJD81	\$5,000	\$1,000		
A SGD Hedged (Accumulation)	IE00BFXG5M61	\$5,000	\$1,000		
A AUD Hedged (Accumulation)	IE00BFXG5N78	\$5,000	\$1,000		
A CAD Hedged (Accumulation)	IE00BFXG5P92	\$5,000	\$1,000		
A CHF Hedged (Accumulation)	IE00BFXG5Q00	\$5,000	\$1,000		
F USD (Accumulation)	IE00BJ5CCJ63	\$5,000	\$1,000		
F GBP Hedged (Accumulation)	IE00BJ5CCK78	\$5,000	\$1,000		
H USD (Accumulation)	IE00BYPZNS69	\$5,000,000	\$1,000,000		
H GBP Hedged (Accumulation)	IE00BNKLLN37	\$5,000,000	\$1,000,000		
H EUR Hedged (Accumulation)	IE00BNKLLP50	\$5,000,000	\$1,000,000		
H SGD Hedged (Accumulation)	IE00BNKLLQ67	\$5,000,000	\$1,000,000		
H ILS Hedged (Accumulation)	IE0006ETXIC8	\$5,000,000	\$1,000,000		
R USD (Accumulation)	IE00BYPZNT76	\$50,000	\$1,000		
R GBP (Accumulation)	IE00BJ5CCL85	\$50,000	\$1,000		
R GBP Hedged (Accumulation)	IE00BSJCJF06	\$50,000	\$1,000		
R EUR Hedged (Accumulation)	IE00BYPZNV98	\$50,000	\$1,000		
R SGD Hedged (Accumulation)	IE00BYPZNW06	\$50,000	\$1,000		
R AUD Hedged (Accumulation)	IE00BFXG8H24	\$50,000	\$1,000		
R CAD Hedged (Accumulation)	IE00BFXG5R17	\$50,000	\$1,000		
R CHF Hedged (Accumulation)	IE00BFXG5S24	\$50,000	\$1,000		
T USD (Accumulation)	IE00BSJCJ725	\$5,000	\$1,000		
T GBP Hedged (Accumulation)	IE00BSJCJ832	\$5,000	\$1,000		
T EUR Hedged (Accumulation)	IE00BSJCJ949	\$5,000	\$1,000		
T SGD Hedged (Accumulation)	IE00BSJCJB67	\$5,000	\$1,000		
<b>Canaccord Genuity Bond Fund</b>					
A GBP Hedged (Accumulation)	IE00BYNFQ459	\$5,000	\$1,000		
A GBP Hedged (Distribution)	IE00BGLP1Z72	\$5,000	\$1,000		
A GBP (Accumulation)	IE000MQ90IC1	\$5,000	\$1,000		
A GBP (Distribution)	IE0005KDIIP9	\$5,000	\$1,000		

Sub-Funds and share classes	ISIN	Minimum Investment*	Subsequent Investment*	Subscription Amount	Number of Shares
<b>Canaccord Genuity Bond Fund</b>					
A EUR Hedged (Accumulation)	IE00BYNFQ566	\$5,000	\$1,000		
A EUR Hedged (Distribution)	IE00BGLP2096	\$5,000	\$1,000		
A USD (Distribution)	IE00BGLP2104	\$5,000	\$1,000		
A SGD Hedged (Accumulation)	IE00BYPZNZ37	\$5,000	\$1,000		
A SGD Hedged (Distribution)	IE00BYPZP025	\$5,000	\$1,000		
A AUD Hedged (Accumulation)	IE00BFXG5H19	\$5,000	\$1,000		
<b>Canaccord Genuity Dynamic Fund</b>					
A GBP (Accumulation)	IE000AVTUPC6	£ 5,000	£ 1,000		
A CHF Hedged (Accumulation)	IE000BHVFSY8	£ 5,000	£ 1,000		
A EUR Hedged (Accumulation)	IE000UI2WZI4	£ 5,000	£ 1,000		
A SGD Hedged (Accumulation)	IE000QJX88P2	£ 5,000	£ 1,000		
A USD Hedged (Accumulation)	IE000CMHK6L3	£ 5,000	£ 1,000		
I GBP (Accumulation)	IE000LDBZIV3	£ 5,000	£ 1,000		
I CHF Hedged (Accumulation)	IE000XUWY9W4	£ 5,000	£ 1,000		
I EUR Hedged (Accumulation)	IE000H4F8ZU3	£ 5,000	£ 1,000		
I SGD Hedged (Accumulation)	IE000F60KND9	£ 5,000	£ 1,000		
I USD Hedged (Accumulation)	IE000C0JBTQ0	£ 5,000	£ 1,000		
R GBP (Accumulation)	IE0002G4G333	£ 50,000	£ 1,000		
R CHF Hedged (Accumulation)	IE000UI2VQD6	£ 50,000	£ 1,000		
R EUR Hedged (Accumulation)	IE000H1BPTU2	£ 50,000	£ 1,000		
R SGD Hedged (Accumulation)	IE000FARPW55	£ 50,000	£ 1,000		
R USD Hedged (Accumulation)	IE000VO8RXR8	£ 50,000	£ 1,000		
<b>Canaccord Genuity 60% Equity Passive Selector Fund</b>					
H USD (Accumulation)	IE000L4FUT59	\$5,000,000	\$1,000,000		
H GBP Hedged (Accumulation)	IE000HJ31UF8	\$5,000,000	\$1,000,000		
J USD (Accumulation)	IE000876TJB2	\$10,000,000	\$1,000,000		
J GBP Hedged (Accumulation)	IE000JMZLV86	\$10,000,000	\$1,000,000		
E USD (Accumulation)	IE0004J4VST6	\$10,000,000	\$1,000,000		
E GBP Hedged (Accumulation)	IE000P302GW3	\$10,000,000	\$1,000,000		
<b>Canaccord Genuity 97.5% Equity Passive Selector Fund</b>					
H USD (Accumulation)	IE000KJKM4M4	\$5,000,000	\$1,000,000		
H GBP Hedged (Accumulation)	IE000A47EK22	\$5,000,000	\$1,000,000		
J USD (Accumulation)	IE000PS1J9N3	\$10,000,000	\$1,000,000		
J GBP Hedged (Accumulation)	IE00001IC801	\$10,000,000	\$1,000,000		
E USD (Accumulation)	IE0002B1LPI2	\$10,000,000	\$1,000,000		
E GBP Hedged (Accumulation)	IE000XL4HNO7	\$10,000,000	\$1,000,000		

#### Please note

\*The minimum and subsequent investments are set out above or are the equivalent in USD, SGD, EUR, AUD, CAD or CHF. If payment is not being made in the Fund's base currency, then please note that foreign exchange will be arranged by the Administrator of the Fund in accordance with the procedures employed by the Administrator for foreign exchange transactions.

## Appendix 2 – Bank details for payment of subscription

If subscriptions are not being paid in the Fund's base currency, then please note that foreign exchange will be arranged by the Administrator of the fund in accordance with the procedures employed by the Administrator for foreign exchange transactions.

Subscriptions should be made by TT or BACS as follows:

### **Sterling (GBP) Payments:**

Intermediary Bank: Barclays Bank PLC, London  
SWIFT: BARCGB22  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
GBP Sort Code: 203253  
Account Number: 53529495  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 626473-20019  
Reference: Contract number/shareholder account number

### **Euro (EUR) Payments:**

Intermediary Bank: Barclays Bank PLC, Frankfurt  
SWIFT: BARCDEFF  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
Account Number: 0210472800  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 626481-20019  
Reference: Contract number/shareholder account number

### **US Dollar (USD) Payments:**

Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
SWIFT: CNORUS33  
Fedwire ABA: 026001122  
CHIPS ABA: 0112  
Beneficiary: Canaccord Genuity Investment Funds Plc - 179366-20010  
Reference: Contract number/shareholder account number

### **Singapore Dollar (SGD) Payments:**

Intermediary Bank: DBS Bank Ltd., Singapore  
SWIFT: DBSSSGSG  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
Account Number: 0370035947  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 626507-20019  
Reference: Contract number/shareholder account number

### **Australian Dollar (AUD) Payments:**

Intermediary Bank: National Australia Bank, Melbourne  
SWIFT: NATAAU33  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
Account Number: 1803007471500  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 649624-20019  
Reference: Contract number/shareholder account number

### **Canadian Dollar (CAD) Payments:**

Intermediary Bank: Bank of Montreal, Toronto  
SWIFT: BOFCAM2  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
Account Number: 31441044481  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 649640-20019  
Reference: Contract number/shareholder account number

### **Swiss Franc (CHF) Payments:**

Intermediary Bank: UBS Switzerland AG, Zurich  
SWIFT: UBSWCHZH80A  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
IBAN: CH590023023007945905X  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc - 649632-20019  
Reference: Contract number/shareholder account number

### **Israeli Shekel (ILS) Payments:**

Intermediary Bank: Bank Hapoalim, Tel Aviv  
SWIFT: POALILIT  
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey  
IBAN: IL470126000000000260082  
SWIFT: CNORUS33  
Beneficiary: Canaccord Genuity Investment Funds Plc – 663484-20019  
Reference: Contract number/shareholder account number

When sending payment by TT, please quote:

- Applicant's name
- Bank
- Bank account number
- Fund name
- Confirmation note number