



Melchior Selected Trust

Application Form

Please read the Important Information overleaf which sets out the application process for new investors.

CONTENTS

Application Form	Page
Section 1: Your Information - Institutional Investor	4
Section 2: Your Contact Details – Natural Investor	18
Section 3: Agent Information	22
Section 4: Investment and Payment Details	23
Section 5: Dealing via Email	27
Section 6: Data Protection	28
Section 7: Privacy Policy	30
Section 8: Tax Information	32
Section 9: Anti-Money Laundering	38
Section 10: Declarations	39
Section 11: Applicable Law and Jurisdiction	43
Section 12: Signatures	44
Appendices	
Appendix 1: Customer Due Diligence Documentation	46
Appendix 2: Glossary (CRS)	55



Important Information

Please read this information before you complete the Application Form.

Please ensure that you have read the Prospectus and the Key Investor Information Document (the “KIID”) before completing this Application Form. The Prospectus and KIID are available at www.polarcapital.co.uk. Defined terms used in this Application Form are those used in the Melchior Selected Trust Prospectus (unless the context otherwise requires).

Shares in the company may not be sold or otherwise transferred to, or be held by, US persons as defined in the Prospectus.

Account Opening

Please complete this form in BLOCK CAPITALS.

Please complete this Form and return it by e-mail and, where required send the original to the Administrator at their address: Northern Trust Global Services SE, 10, rue du Château d’Eau, L-3364 Leudelange, Grand Duchy of Luxembourg.

Please complete and sign the Application Form in blue or black ink and use **BLOCK CAPITALS** where possible. Please ensure the following section are complete:

- Sections 1 to 12 (as appropriate)
- Appendix 1: Anti-Money Laundering Due Diligence Documentation
- Section 8: FATCA/CRS forms
- Section 12: Signatures are duly executed by the account holder(s).
- Please also provide a copy of your bank statement.

These documents should be emailed to Northern Trust Global Services SE (the “Administrator”):

E-mail for general queries:	POLAR-TA-LUX@ntrs.com
E-mail for email-dealing:	POLAR-EMAIL-DEALING@ntrs.com
Phone number:	+352 28 294 146

Section 1: Your Information – Institutional Investor

1.1 General details

If you are a natural person, please complete Section 2.

Legal Entity Name	
Address	
Telephone	
Email	
Account Designation	
Country and Date of Incorporation	
Legal Form of Company	
Type of Business Activity	
Tax Identification Number	
Business Object of Investor	
Dealing via SWIFT? (Yes/No)	
SWIFT Code	
Dealing via Email? (Yes/No)	
Email Address for Email Dealing	
PFIC Statement Required (Yes/No)	

Legal representative(s)/contact person(s) entitled to open/act on the account and/or place deals

All communications will be sent to the first named registered holder. However, all joint applicants must sign this application. If this form is signed by an attorney or other agent, the original or a certified copy of the authority of the attorney or agent must accompany this form. A corporation should execute under its common seal or sign by a duly authorised officer who should state his representative capacity.

Name	
Address	
Telephone	
Email	
Date and Place of Birth	
Nationality	
National Identification Number	

Additional Recipient of Statements

Please insert below the name and contact details of an additional person or entity to whom statements of your holdings should be sent (if applicable):

Name	
Address	
Email	

1.2 Entity type

Please tick the relevant box below (entity type) and complete the information for the specific entity type in section 1.4, and (if applicable) 1.5, or 1.6, or 1.7, depending on your answers section in 1.3 (please find additional guidance in Appendix 1 of this Application Form)

- Financial Institution
- Nominee Company
- Collective Investment Scheme
- Pension Scheme (regulated only, including Trust Pension Schemes)
- Other financial company (Central Bank, Insurer, etc.)
- Commercial Company (Listed or unlisted)
- LLC
- Partnership Foundation (or similar entity)
- Club/Society, Association
- Trade Union
- Public body
- Nonregulated Pension Scheme (other than Trust)
- Trust (patrimonial, non-regulated Trust Pension Scheme),
- Charity
- Church
- School/University
- Other (please state)

1.3 Nature and intended purpose of the business relationship with the Fund

Required to comply with CSSF Circular 17/650 Section 1.1.1 and with CSSF Regulation No 12-02 Article 24.

A. Please tick the boxes below where relevant.

- Distribution of units and shares to own clients
- Wrapping unit-linked products
- To generate a return on investment
- Nominee
- Platform for transmitting orders
- Client Investment for diversification
- Other(s) (please specify)

B. Expected Number and Frequency of transactions (Please provide details)

C. Expected Duration of the Business Relationship with the Fund

- 1-3 years
- 3-5 years
- 5 years +

D. Commercial Nature/Business Purpose of the Account Holder

1.4 Regulated status

A. Listing on a Regulated Market*

Are you listed on a Regulated Market?

Yes No

**Regulated Market: As defined under Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments ("MiFID II").*

If you are listed, please indicate the name of the stock exchange

B. Regulated Entity

Within the meaning of compliance, anti-money laundering and anti-terrorism financing perspectives as per FATF Recommendations on International Standards on Combatting Money Laundering and the Financing of Terrorism and Proliferation?

Yes, we are directly regulated for AML-CTF purpose (please provide a Proof of Regulation)

Name of our regulator and type of business license

No, but we are fully owned and controlled by a regulated financial institution

Legal entity name of our Parent Company, percentage of ownership. Place of incorporation and name of the Parent Company's regulator (lease provide proof of regulation)

C. NONE of the above.

We are not regulated and we do not have a regulated parent company.

(If selected, please complete instead the required information depending on your entity type which follows).

1.5 Commercial Company, Foundation, Club, Association, Party, Government, other

Does the Entity have its own legal personality (not a shelter foundation)

Yes No

Legal form of the Entity and incorporation country

1.6 State agency, Government, Public Administrations or Enterprises

Name of the governance committee or equivalent overseeing the activities of the agency (if applicable)

Type of relationship with the state:

1.7 Trust (excluding Regulated Pension Schemes)

The Trust is governed by the laws of:

The Trust is revocable:

Yes No

Legal form of the Trust

The Trustee(s) is/are:

Name	<input type="text"/>
Legal Form	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Email	<input type="text"/>

Application Form

Date and Place of Birth	
Nationality	
Trustee is supervised and regulated by	

The Settlor(s) / Grantor(s) is/(are):

Name	
Legal Form	
Address	
Telephone	
Email	
Date and Place of Birth	
Nationality	
Trustee is supervised and regulated by	

The Protector is (are):

Name	
Legal Form	
Address	
Telephone	
Email	
Date and Place of Birth	

Nationality	
National Identification Number	

1.8 Relationship: “acting on our own behalf” or “on behalf of a Third party”

Please tick relevant boxes.

A. We hereby certify that we are acting on our own behalf (investing our own money)
(If this option does not apply, please complete the section B including (i) and (ii) which follow)

B. We are acting on behalf of a third party (please tick relevant boxes in (i) and (ii))

C. We are acting on behalf of a third party and commit to provide the information below as well as, upon request, the AML/KYC identification and verification data and other relevant documentation on the identity of the underlying investors and their beneficial owners without delay.

(i) We specify the profile of the investors we provide our service to as follows:

- Retail investors
- High Net Worth Individuals and family offices
- Commercial companies
- Insurance companies
- Investment fund
- Pension Schemes and plans
- Others (please specify):

Our approximate number of clients are: _____

As of _____

(ii) We offer fund share/units to customers from/in countries identified as jurisdictions with AML-CTF strategic deficiencies:

- N/A
- Yes and we do list those jurisdictions with AML-CTF strategic deficiencies here:

We also confirm that we undertake to verify the identity of all third parties on whose behalf we act in the Fund.

1.9 Identification of the directors or equivalent

Please provide a full list of your executive and non-executive directors or any person(s) exercising similar position and please complete the following information for any of these persons who are currently acting (or may act in the future) on the account/involved in the business relationship:

Name	
Address	
Date and Place of Birth	

Nationality

1.10 Identification of the Ultimate Beneficial Owners

Please complete below where relevant.

In accordance with Article 1(7) of the Luxembourg Law of 12 November 2004¹, please follow Steps A, B and C in order to determine ultimate beneficial ownership of the account holders' structure.

(If the account holder is acting on behalf of a third party, Step D will also be required). For certain investor types, such as trusts and foundations, CSSF Circular 19/732 has defined certain roles as being equivalent to beneficial owner. Information and documentation may, thus, be requested accordingly.

A. Identify the natural person(s) who directly or indirectly holds or controls a sufficient percentage, namely 25% plus one, of the shares/units, voting rights or ownership of the account holder entity; (Please note, in some cases requiring Enhanced Due Diligence, a threshold of 10% plus one will apply).

Is/are there any natural person(s) who directly or indirectly holds or controls enough of a percentage, namely 25% plus one, of the shares/units, voting rights or ownership?

Yes No

If Yes, please complete below. If No, please proceed to B.

Name	<input type="text"/>
Address	<input type="text"/>
Date and Place of Birth	<input type="text"/>
Nationality	<input type="text"/>
National ID Number (where appropriate)	<input type="text"/>
Profession	<input type="text"/>
Percentage of Ownership	<input type="text"/>

B. Where no natural person can be identified under A, please complete the following table to identify any person who controls the legal entity via other means²

¹ Law of 12 November 2004 on the fight against money laundering and terrorist financing (amended): https://www.cssf.lu/wp-content/uploads/L_121104_AML_upd250320eng.pdf

² In determining the natural person(s) effectively controlling the customer which is not an individual (i.e. a legal entity or legal arrangement),

Name	
Address	
Date and Place of Birth	
Nationality	
National ID Number (where appropriate)	
Profession	
Percentage of Control	

C. Where no person under points A. and B. above is identified, identify any person who holds the position of senior managing official³.

Name	
Address	
Date and Place of Birth	

the following factors may be useful to consider, always on a case by case basis:

- Individuals granted control through shareholders agreements;
- Individuals with the ability to de facto control the customer;
- Individuals that sign orders or initiate transactions, or regularly intervene otherwise in the relationship without the need to exercise for example official/formal representative functions of the company;
- Individuals having the exclusive right to exercise the power to appoint or dismiss a majority of the members of the administrative, management or supervisory body of the legal person which determines the financial and business policy;
- Individuals responsible for essential managerial decisions;
- Individuals having the right to use all or part of the assets of a legal person;
- Former shareholder or management member exercising a significant influence on the legal entity;
- Personal relationships with the customer, for example family members,
- Individuals possessing a significant minority interest whereas the other shareholders have significantly lower participations;
- Individuals having the right to determine the financial and business policy of the customer on the basis of a domination agreement with the party directly involved or on the basis of a provision in the statutes of the party directly involved;
- With regards to special purpose vehicles, the indirect party bearing the majority of risks and opportunities of the party directly involved to achieve a narrowly and precisely defined objective of the parent company.

³ It should be stressed that this constitutes an express fall back or default option which allows identification of the senior managing official as the ultimate beneficial owner, being an individual who has knowledge of and sufficient connection to the legal person. In principle, the management as such does not exercise effective control because it acts in the interest of and represents the owners or persons controlling the company. Do not straight away designate merely their senior managing official as ultimate beneficial owner. Where a collegial or jointly responsible body is in charge, more than one senior managing official can be designated as UBO.

Nationality	
National ID Number (where appropriate)	
Profession	

We commit to communicate any subsequent change of Ultimate Beneficial Ownership to Northern Trust without any delay.

D. If you are acting on behalf of a third-party, please also complete the following

There is/are no underlying investor(s) owning more than 25%* of the shares or units of this register account through us. *Please note that in some cases a threshold of 10% may apply

There is/are one or more underlying investor(s) owning more than 25%* of the shares or units of this register account through us whose details are provided in the Underlying Investor Declaration provided separately. *Please note that in some cases a threshold of 10% may apply.

We commit to communicate any subsequent change of Ultimate Beneficial Ownership to Northern Trust without any delay.

1.11 Identification of the chain of ownership (multilayer structure)

Is your legal entity a multilayer structure?

Yes No

(If **YES**, please continue onto the following documentary request).

We attach the most up to date, signed and dated multilayer structure chart including percentage of shareholding/control for each entity in the structure

We confirm that the structure chart(s) provided is accurate and up to date

Others (please specify):

Note: Where legal persons or arrangements exist in the ownership structure between the customer and the Ultimate Beneficial Owner, the following information shall be recorded for each:

- Denomination;
- Legal form;
- Address of the registered office and, if different, a principal place of business;
- Where appropriate, official national identification number;
- Executive and non-executive directors or persons exercising similar positions (for the legal arrangements).

Is there any chain of ownership between the investor and the Ultimate Beneficial Owner?

Yes No

If the answer is **YES**, please complete the following table for each of the legal entities

Layer One

Application Form

Denomination	
Legal Form	
Address of registered office/principal address	
Nationality	
National ID Number (where appropriate)	
List of current executives and non-executive directors	<i>(Please include details of names, addresses, date and place of birth, National ID numbers (where appropriate) and their profession/occupation.)</i>

1.12 Identification of other signatories (if any)

Please provide the following information concerning the signatories of your entity, who are or will be involved in the business relationship with Northern Trust.

Name	
Address	
Date and Place of Birth	
Nationality	
National ID Number (where appropriate)	

List of current executives and non-executive directors *(Please include details of names, addresses, date and place of birth, National ID numbers (where appropriate) and their profession/occupation.)*

1.13 Identification of other related parties (if applicable)

A. Please confirm if there is any third-party legal entity, which acts on behalf of your entity during the business relationship with the Administrator, who are or will be involved in the business relationship with Northern Trust.

Yes No

If the above answer is **YES**, please complete the table below.

Full Legal Name	
Legal Form	
Address	
Nationality	
Registered Number (where appropriate)	

List of current executives and non-executive directors *(Please include details of names, addresses, date and place of birth, National ID numbers (where appropriate) and their profession/occupation.)*

B. Are there any third-party natural persons related which acts on your behalf of your entity?

Yes No

If the above answer is **YES**, please complete the table below.

Name	
Address	
Date and Place of Birth	
Nationality	
National ID Number (where appropriate)	
Profession	

1.14 Source of funding and wealth

A. Source of Funds

According to the CSSF Circular 17/661 means the origin of the funds involved in a business relationship or occasional transaction. It includes:

- the means through which the customer's funds were transferred as well as
- the activity that generated the funds used in the business relationship

Please note that third-party payments are not accepted.

I. Please indicate the origin/source of funds invested/to be invested:

- Same as Bank Account to which Redemption/Dividend payments should be paid
- Different to Bank Account to which Redemption/Dividend payments should be paid and details have been/will be provided separately.

II. Please indicate the activity that generated the funds you are investing by ticking the applicable box(es):

- | | | |
|---|--|---|
| <input type="checkbox"/> Salary or bonus | <input type="checkbox"/> Savings | <input type="checkbox"/> Profit from sale of business |
| <input type="checkbox"/> Profit from sale of investment | <input type="checkbox"/> Inheritance or gift | <input type="checkbox"/> Client's money |
| <input type="checkbox"/> Investment income (dividends, interest etc.) | | <input type="checkbox"/> Profit from sale of property |
| <input type="checkbox"/> Employee Pension Contributions | | <input type="checkbox"/> Loan |
| <input type="checkbox"/> Others (please specify): | | |

Note. Documentary evidence of the information provided here may be required

B. Source of Wealth

According to the CSSF Circular 17/661, this means the origin of the customer's total wealth.

I. Please provide details on how your overall wealth was accumulated

Note. Documentary evidence of the information provided here may be required

II. To be completed only by corporate investors which are **not** regulated Financial/Credit institutions

III. Total balance sheet / Total assets of the last three years

IV. Profit and losses of the last three years

Section 2: Your Information – Natural Investors

2.1 Section 2 - Investor details

Are you investing as an individual or joint account?

Individual account holder

Joint account

In the case of a joint account, please specify if each owner can sign individually?

Yes No

Owners Name	
Mothers surname prior to any marriage	
Address*	
Telephone	
Email	
Date and Place of Birth	
Gender	
Nationality	
National ID Number (where appropriate)	
Profession/former profession if retired	

***Note** Please provide a street address for the account owner. All account-related materials will be sent to this address. PO Boxes are not permitted.

Joint accounts will be registered as Joint Tenants with Rights of Survivorship

Application Form

Joint Owner's Name	
Mothers surname prior to any marriage	
Address*	
Telephone	
Email	
Date and Place of Birth	
Gender	
Nationality	
National ID Number (where appropriate)	
Profession/former profession if retired	

***Note** Please provide a street address for the account owner. All account-related materials will be sent to this address. PO Boxes are not permitted.

Dealing Instructions

Will dealing instructions be sent via email?

Yes

No

If YES, please indicate the email address to be used

Additional Recipient of Statements

Please provide the name and contact details of an additional person or entity to whom statements of your holdings should be sent (if applicable)

Name	
Address	
Email	
PFIC Statement Required (Yes/No)	

2.2 Relationship: “acting on our own behalf” or “on behalf of a third party”

- I/We confirm that I/we are acting on our own behalf (investing our own money)
or
- I/We declare that I/we act directly or indirectly on behalf of a third-party individual

If acting on behalf of a third party – individual, please describe the relationship:

2.3 Nature and intended purpose of the business relationship with the Fund

Required to comply with CSSF Circular 17/650 Section 1.1.1 and with CSSF Regulation No 12-02 Article 24.

I/we confirm that the purpose of my/our relationship with the Fund is:

- To generate income/return on investment
- Succession planning
- Appreciation
- Retirement planning
- To start/expand a business capital
- Others (please specify):

I plan to invest for a period of:

- 1-3 years
- 3-5 years
- 5 years +

2.4 Source of funding and wealth

Amount invested and expected amount to be invested in the future

Expected number of subscriptions per year

Source of funding (of the amount currently invested and/or to be invested in the future such as inheritance, property sale, savings)

Please indicate the origin/source of funds invested/to be invested by completing the following

- Same as Bank Account to which Redemption/Dividend payments should be paid.
- Different to Bank Account to which Redemption/Dividend payments should be paid and details have been/will be provided separately.

Source of wealth (of how you have generated your overall wealth to date, such as salary, investment returns)

Note. Documentary evidence of the information provided here may be required.

Section 3: Agent Information

In the case that Application Form is being completed on behalf of any investor (institutional or retail), please complete this section as agent.

Agent Company Information

Agent Name	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
Email	<input type="text"/>
Telephone	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Section 4: Details of Investment and Payment Details

4.1 Investment Details

This section may be left blank if this form is being completed for account opening purposes only.

Please indicate the details of your investment below, either in monetary terms, or number of shares required. Please refer to the Prospectus for the minimum investment amount required for a particular share class.

Investment Purpose	
Total Investment Amount	
Expected Subscription Amount Each Year	

4.1.1 Subscription Amount

Sub-fund name	Share class	ISIN code	Subscription amount*	Currency

*Please note that commas denote thousands and that a full stop denotes pence/cents in respect of sterling /euros and dollars respectively. For example: £10,000.25 = ten thousand pounds and 25 pence.

4.1.2 Subscription Number of Shares

Sub-fund name	Share class	ISIN code	Subscription quantity

*Please note that commas denote thousands and that a full stop denotes decimals. Share decimalisation can be found in the Prospectus. For example: 10,000.25 = ten thousand shares spot 25.

4.1.3 Distributions

Please select how you would like us to deal with any distributions.

Distributions are automatically reinvested unless you indicate otherwise.

Please tick this box if you want any distributions to be paid to you in cash (this will be sent to the bank account details provided in section 4.4 below).

4.2 Fund Payment Details

Please note the following details to wire transfer the subscription cash amount:

EUR		USD	
Correspondent Bank	Societe Generale Paris	Correspondent Bank	The Northern Trust Company (CNORUS44)
Correspondent Bank BIC	SOGEFRPP	Correspondent ABA	071000152
Correspondent Account	001015853970	Correspondent Account	5186061000
Beneficiary Bank	Northern Trust Global Services SE, Lux	Beneficiary Bank	Northern Trust Global Services SE, Lux
Beneficiary Bank BIC	CNORLULX	Beneficiary Bank BIC	CNORLULX
Beneficiary Name	MELCHIOR SELECTED TRUST	Beneficiary Name	MELCHIOR SELECTED TRUST
Beneficiary IBAN	LU684060000014587831	Beneficiary Account	70 - 10469
Beneficiary Communication	Subscription in MSDR04	Beneficiary Communication	Subscription in MSDR04
GBP		JPY	
Correspondent Bank	Northern Trust Company, London Branch	Correspondent Bank	The Hong Kong & Shanghai Banking Corp Ltd.
Correspondent Sort Code	23-28-63	Correspondent Bank BIC	HSBCJPJT
Correspondent Bank BIC	CNORGB22	Correspondent Account	009-030834-026
Beneficiary Bank	Northern Trust Global Services SE, Lux	Beneficiary Bank	Northern Trust Global Services SE, Lux
Beneficiary Bank BIC	CNORLULX	Beneficiary Bank BIC	CNORLULX
Beneficiary Name	MELCHIOR SELECTED TRUST	Beneficiary Name	MELCHIOR SELECTED TRUST
Beneficiary IBAN	LU684060000014587831	Beneficiary IBAN	LU684060000014587831
Beneficiary Communication	Subscription in MSDR04	Beneficiary Communication	Subscription in MSDR04

4.3 Investor: Payment Details for Subscriptions and Redemptions

Please provide the following information about the bank or financial institution at which you hold an account in your name and from which you are remitting subscription monies. This information will be used by the Fund or its agents to pay any proceeds. Please notify the Administrator if your bank account information changes.

Payments will be paid only to registered shareholders (no third-party payment can be executed) and made by electronic bank transfer (in shared mode for charges).

Request for Bank Statement

For individual investors, we require a copy of a recent bank statement to verify the bank account information provided on this form. The bank statement must contain the beneficiary's full name and account number/IBAN, the beneficiary bank name, identifier code (SWIFT, ABA or SORT) and address, the correspondent bank's name, identifier code and address as well as the account of the beneficiary bank with its correspondent when applicable. A statement dated six months six months or less is required as a standard, but an original version dated three months or less may be required when enhanced due diligence applies.

For institutional investors, the standard settlement instructions may also be provided via an official booklet or through a side letter signed by duly authorised person.

Application Form

Account Holder Name	
Account Number/IBAN	
Currency of the Account	
Beneficiary Bank Name	
Bank Address	
SWIFT	
Sort Code	
Correspondent Bank of the Beneficiary Bank (if relevant)	
Address	
SWIFT	
Sort Code	

4.4 Investor: Dividend Payment Details

If you have chosen to receive any dividends in cash, please indicate the account this should be paid to if different from the account indicated above.

Account Holder Name	
Account Number/IBAN	
Currency of the Account	
Beneficiary Bank Name	

Application Form

Bank Address	<input type="text"/>
	<input type="text"/>
SWIFT	<input type="text"/>
Sort Code	<input type="text"/>
Correspondent Bank of the Beneficiary Bank (if relevant)	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
SWIFT	<input type="text"/>
Sort Code	<input type="text"/>

Section 5: Dealing via Email

If you have chosen to deal in the Fund via email in Section 1 or 2, your instruction will only be accepted if it is sent from the email address indicated in Section 1 or 2. Please read Section 5.1 below for further information.

5.1 Request for Electronic Instructions Capability and Acceptance of Risks

I/We request the ability to send duly signed dealing instructions for trading in the Fund (subscriptions, switches, transfers and redemptions, excluding initial applications) to the administrator in the form of a portable document format ('PDF') or a commonly used equivalent scanned form, transmitted via email and to have them acted upon instead of the usual requirement of physically delivering original signed instructions or sending them by post.

I/We understand and agree that the Fund and the administrator will rely on such electronic instructions received in good faith without further enquiry.

I/We authorise the Fund and the administrator to rely on such electronic instructions, based on the terms contained under this section. If further clarification is required, this includes the right for the Fund and the administrator to request original documentation.

I/We understand and accept that electronic communications are not a secure form of communication and may be intercepted, altered or corrupted by unauthorised persons.

I/We understand and accept that using and relying on electronic communications involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents.

I/We understand that I/we may still elect at any time to deliver originals by post.

I/We acknowledge that if upon sending dealing instructions via email I/we do not receive (i) a prompt automatic email confirmation back from the Administrator associated email address that is specified in the Application Form and (ii) a telephone call or an email confirmation from a representative of the Administrator within 24 hours (the "Confirmation Period"), if such instructions are sent on business days in Luxembourg between 9:00am and 6:00pm (CET) and if sent at any other times, the Confirmation Period will start the following business day in Luxembourg from 9:00am (CET), confirming the receipt of such dealing instructions.

I/we will follow-up via telephone on +352 28 294 146 or email to POLAR-TA-LUX@ntrs.com whether the Administrator has received such email dealing instruction. If sending dealing instructions via email, I/we undertake to ensure that the email is sent from an address provided to the Administrator by me/us below in this Application Form, email subject line shall only read "Email dealing" and the documents attached to such email are in PDF or other commonly used equivalent scanned format.

Any email dealing must be sent to POLAR-EMAIL-DEALING@ntrs.com

5.2 Right of the Fund and the Administrator to not act on emails and/or copies

I/We understand and agree that the Fund or the administrator or both may choose not to rely on electronic communications. If this is the case, the Fund and the administrator agree that whichever of them elects not to act upon the electronic communications, they will try to contact us on the same day to advise us of their decision. I/We will not hold the Fund or the Management Company (and they will not be) responsible if they choose not to act on electronic instructions.

5.3 Allocation of Risk

I/We agree to bear the risks associated with using and relying on electronic communications except where the Fund or the administrator is grossly negligent or willfully defaults in undertaking their respective responsibilities. I/We agree that, except where the Fund or the administrator is grossly negligent or willfully defaults, they cannot accept responsibility for any use of an incorrect email address, interception, failure, alteration or corruption of the electronic instructions, non-receipt of the electronic instructions, failure of the technical infrastructure, or any allotment, transfer, payment or other act done in good faith in accordance with electronic instructions.

If the Fund or the administrator incur a loss of any nature due to their acting or failing to act on electronic communications received from me/us or due to equipment failure or any circumstances beyond the control of the Fund or the administrator, I/we will indemnify and keep indemnified the Fund and the administrator from all such loss, except where the Fund or the administrator is grossly negligent or willfully default in undertaking their respective responsibilities.

Section 6: Data Protection

In order to provide services and products to the Fund, the Administrator needs to be able to share certain confidential information about you with its affiliates and branches and other recipients for certain purposes, all detailed below.

The Administrator agrees to take all reasonable and customary measures to keep your information confidential and will require contractually other recipients to keep your information confidential (unless they are subject to the same legal requirements).

6.1. Purposes of Data Processing

Your personal data may be processed by the Fund or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- To facilitate the opening of your account with the [Fund], the management and administration of your holdings in the Fund and any related account on an on-going basis (the “Services”) which are necessary for the performance of your contract with the Fund, including without limitation the processing of 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 Fund considers appropriate to meet any legal obligations imposed on the Fund relating to, or the processing in the public interest or to pursue the Fund’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 [Fund] 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,
 - (ii) for crime detection, prevention, investigation and prosecution,
 - (iii) to enforce or defend the Fund and its affiliates’, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Fund,
 - (iv) to pursue the Fund’s legitimate interests in relation to such matters, or
 - (v) where the processing is in the public interest.
- To disclose information to other third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Fund or in order to pursue the legitimate interests of the Fund,
- To monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund to improve its service delivery.
- To update and maintain records and fee calculation.

- To retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests; and which are necessary to comply with the Fund or the Administrator's legal obligations and/or which are necessary for the Fund or the Administrator's legitimate interests indicated above and/or the processing is in the public interest.

6.2 Recipients of Data and International Transfer of Data

The Fund may disclose your personal information as follows:

- To its service providers, including the Administrator, and their affiliates, and other third-party service providers engaged by the Fund to process the data for the above-mentioned purposes
- To competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

The disclosure of personal information to the third parties set out above may involve the transfer of data to the other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the General Data Protection Regulation (GDPR) and in particular India, Ireland, the Philippines, United Kingdom and the United States of America. Such countries may not ensure an adequate level of protection of personal data as assessed by the EU Commission. The Fund has authorised the Central Administration as its agent to put in place standard data protection clauses adopted by the EU Commission with relevant parties to whom personal data will be transferred. Please contact the Central Administration for copies of the Standard Contractual Clauses that have been entered into on behalf of the Fund.

6.3 Retention Period

The Fund and the Administrator will retain your personal information for as long as required for the Fund or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

6.4 Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information means the Fund may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the General Data Protection Regulation.

6.5 How to Contact Us

If you require further information in relation to the processing of data by the Central Administrator, please contact Privacy_Compliance@ntrs.com.

Section 7: Privacy Policy

The Fund, the Management Company and/or the Administrator (together the “Companies”) consider customer privacy to be a fundamental aspect of our relationships with shareholders and are committed to maintaining the confidentiality, integrity and security of our current, prospective and former shareholders’ personal information. To ensure our shareholders’ privacy, the Companies have developed policies that are designed to protect this confidentiality, while allowing shareholders’ needs to be served. The Applicant(s) understand(s) that the Fund and its agents may record or monitor telephone calls between him/her/them and the Fund and its agents, to ensure that instructions can be checked and that the Fund and its agents are meeting their service standards. The Applicant(s) acknowledge(s) that the Fund and its agents, or anyone else mentioned below may give information about them and their account:

- between the Fund and its agents.
- to people who provide a service to the Fund or its agents, on the understanding that they will keep the information confidential.
- to anyone to whom the Fund and its agents transfer or may transfer their rights and duties under this Declaration.
- to anyone if the Fund and its agents have a duty to do so or if the law allows the Companies to do so.

Otherwise the Fund and its agents will keep information about them confidential, other than if the applicant(s) have carried out transactions through a financial adviser when that adviser will be deemed to be their agent to whom full details of their investments will be disclosed unless the applicant(s) advise the Fund and its agents to the contrary in writing. The applicant(s) understand(s) that they may request a copy of their information from the Fund and its agents in return for payment of a fee and to require the Fund and its agents to correct any inaccuracies.

7.1 Obtaining Personal Information

In the course of providing shareholders with products and services, the Companies may obtain non-public personal information about shareholders, which may come from sources such as account applications and other forms, from other written, electronic or verbal correspondence, from shareholder transactions, from a shareholder’s brokerage or financial advisory firm, financial adviser or consultant, and/or from information captured on our internet web sites.

7.2 Respecting Your Privacy

The Companies do not disclose any personal or account information provided by shareholders or gathered by us to non-affiliated third parties, except as required for our everyday business purposes, such as to process transactions or service a shareholder’s account, or as otherwise permitted by law. As is common in the industry, non-affiliated companies may from time to time be used to provide certain services, such as preparing and mailing reports, account statements and other information, and gathering shareholder proxies. The Companies may also retain non-affiliated financial services providers to market shares or products and we may enter into joint-marketing arrangements with them and other financial companies. The Companies may also retain marketing and research service firms to conduct research on shareholder satisfaction. These companies may have access to a shareholder’s personal and account information but are permitted to use this information solely to provide the specific service or as otherwise permitted by law. The Companies may also provide a shareholder’s personal and account information to their respective brokerage or financial advisory firm, Depository, and/or to their financial advisor or consultant.

7.3 Sharing Information with Third Parties

The Companies reserve the right to disclose or report personal information to non-affiliated third parties where that disclosure is required under law to cooperate with regulators or law enforcement authorities, to protect our rights or property or upon reasonably acceptable request by any investee entity in which a shareholder has chosen to invest. The Companies shall also share investor information upon written consent from the investor. Some national or foreign laws, regulations or payment systems may require identification of the person placing the order and its beneficiary. Your attention is drawn to the fact that where assets are to be transferred, the

Administrator may have to disclose the Information relating to you to third parties, including public authorities and correspondent banks of the Administrator. Data, including data of a personal nature, included in cross-border transfers shall be subject to processing by the Administrator and other specialised intermediaries and in particular SWIFT (Society for Worldwide Interbank Financial Telecommunication). Such processing may take place in centres established in other member states of the EU, in Switzerland, in the United States of America and other countries pursuant to local regulations. The consequence, inter alia, thereof, is that the authorities of such countries and foreign authorities may request access to such data, in the context of the fight against terrorism or for other purposes.

7.4 Sharing Information with Affiliates

The Companies may share shareholder information with our affiliates in connection with our affiliates' everyday business purposes, such as servicing a shareholder's account, but our affiliates may not use this information to market products and services to you except in conformance with applicable laws or regulations. The information the Companies may share includes:

- information about our experiences and transactions with a shareholder and may include, for example, a shareholder's participation in one of the Funds or in other investment programs
- a shareholder's percentage ownership of certain types of accounts, or other data about a shareholder's transactions or accounts
- surname, first name, domicile, address, nationality, date and place of birth, profession (in case of legal persons: corporate name, address of registered office, registration number with the relevant corporate registry, date and place of incorporation, nationality, legal form, shareholder structure)
- information on identification documents: issuance numbers, date and place of issuance, duration of validity and copies of such documents (in case of legal persons: deed and articles of incorporation, excerpts from corporate registry, shareholder register)
- tax domicile and other tax-related documents and information, including FATCA and/or CRS status
- transactions, assets and orders and communications relating thereto

The Companies affiliates, in turn, are not permitted to share shareholder information with non-affiliated entities, except as required or permitted by law. You therefore authorise the Administrator, to disclose to its affiliates and branches in the EU and the EEA and outside the EEA (in particular in India, Ireland, the Philippines, United Kingdom and the United States of America), information on you, your investors, beneficial owners and representatives. The Administrator will take all reasonable steps to ensure an affiliate or branch treats such disclosed information as confidential.

7.5 Procedures to Safeguard Private Information

The Companies take seriously the obligation to safeguard shareholder non-public personal information. In addition to this policy, the Companies have also implemented procedures that are designed to restrict access to a shareholder's non-public personal information only to internal personnel who need to know that information to provide products or services to such shareholders. In addition, the Companies have physical, electronic, and procedural safeguards in place to guard a shareholder's non-public personal information.

7.6 Disposal of Confidential Records

The Companies will dispose of records; if any that are knowingly derived from data received from a consumer reporting agency regarding a shareholder that is an individual in a manner that ensures the confidentiality of the data is maintained. Such records include, among other things, copies of consumer reports and notes of conversations with individuals at consumer reporting agencies.

7.7 Investor Agreement

Luxembourg law requires your consent to share the information.

By ticking this box, I indicate that I have read and agree to the terms presented under section 6 - Data Protection Declarations and Section 7 - Privacy Policy

Section 8: Tax Information

8.1 Tax Information

The applicant(s) acknowledge that they have obtained their own independent advice on the taxation consequences of investing in the Fund and that they have not received any tax or legal advice regarding investment from either the Fund or the Administrator and that this investment is the result of their own decision.

The applicant(s) agree that they are subject to tax in another country or jurisdiction (or the Fund or its agents have reason to believe, or are required to assume that this may be the case), the Fund and its agents may be required by legislation, regulation or by agreement with tax authorities of that country to report on an ongoing basis certain information about you and your accounts and assets you hold with the Fund and its agents on an individual or aggregated basis to a relevant tax authority which then pass that information to the tax authorities where you are subject to tax or directly to the tax authorities in that country. The Fund or Administrator may also have to report information about your direct and indirect shareholders or other owners or interest holders and, if you are a trust, your beneficiaries, settlors, or trustees.

If the Fund or its agents are required to report information about you, this would include (but is not limited to) information about you, your accounts and assets, for example your account number(s), the amounts of payments including interest paid or credited to the account(s), the account balance(s) or asset values, your name, address and country of residence and your social security number/taxpayer identification number or similar (if applicable). You may need to provide us with further information, if requested, about your identity and status.

Investors who acquire one or more of the following characteristics need to provide the Administrator with a US tax form (Form W-9/Form W-9BEN):

- **An investor who is a US person**
- **An investor with any US indications, such as a US address or US telephone number**
- **A company or trust**
- **An investor having the intention to invest directly in US securities**

We recommend you seek advice from your own tax adviser as to which is the most appropriate US tax form for you to complete. In certain circumstances the information which you provide on your US tax form may mean that further documentation will be required.

The US tax form can be found on the IRS website:

<http://www.irs.gov/pub/irs-pdf/fw8ben.pdf> or <http://www.irs.gov/pub/irs-pdf/fw9.pdf>

The subscriber is:

- Investing solely on their own behalf
(Proceed to **section 8.2.2** Tax status of Beneficial Owner)
- A distributor investing for undisclosed clients through an omnibus/custody account
(Proceed to **section 8.2.2** Tax status of Beneficial Owner)
- Investing on behalf of a third party as a: Nominee | Trustee | Partner | Agent | Other
(Proceed to **section 8.2.1** Tax status of subscriber investing on behalf of third party)

8.2 Tax Status

8.2.1 Tax status of Subscriber Investing on Behalf of Third Party

Name	
Third Party Type (corporate, pension fund etc.)	
Tax Identification Number (TIN*)	

*Please indicate "N/A" if the country of tax residence either does not issue a TIN or does not require the TIN to be disclosed. Please indicate "Applied For" if you are a newly incorporated company having applied for a TIN. If no TIN is available, please provide an explanation.

8.2.2 Tax status of Beneficial Owner

Name of Beneficiary	
Main Tax Residency	
Tax Identification Number (TIN)	
Other Tax Residency	
Tax Identification Number (TIN)	

The Beneficial Owner confirms that the tax residence country/countries provided represent *all* countries in which the Beneficial Owner is considered as a tax resident.

8.3 Classification for FATCA Purposes

To be completed only if the account holder is a corporate entity

8.3.1 Entities with their own Global Intermediary Identification Number (GIIN)

GIIN	
------	--

FATCA Classification (please tick where accurate):

- Participating Foreign Financial Institution
- Registered Deemed Compliant Foreign Financial Institution

- Direct Reporting NFFE
- Reporting Foreign Financial Institution under IGA Model 1
- Reporting Foreign, Financial Institution under IGA Model 2

8.3.2 Entities using a Sponsor's Global Intermediary Identification Number (GIIN)

Sponsor's GIIN	
Sponsoring Organisation	

- Sponsored Investment Entity or Controlled Foreign Corporation
- Sponsored Direct Reporting NFFE
- Sponsored closely held Investment Vehicle

8.3.3 Entities without a Global Intermediary Identification Number (GIIN)

- A Certified Deemed-Compliant Financial Institution under IGA Model 2
- Non-Reporting Financial Institution under IGA Model¹
- An exempt Beneficial Owner
- A territory Financial Institution
- A Non-Participating Foreign Financial Institution
- An Active NFE
- A Passive NFFE

8.4 Classification for CRS Purposes

Section to be completed only if the account holder is a corporate entity.

8.4.1 Financial Institution (FI)

- Investment Entity with tax residence in non-participating jurisdiction, managed by another FI
- Other Investment Entity
- Financial Institution other than above Investment Entity (Depository institution, Custodial institution, Specific insurance company)
- Financial Institution Non-Reporting according to your local jurisdiction legislation where you are resident

8.4.2 Non-Financial Entity (NFE)

- Active Non-Financial Entity - Corporation that is regularly traded or an affiliate of such corporation
- Active Non-Financial Entity- Government Entity or Central Bank

- Active Non-Financial Entity- International Organisation
- Active Non-Financial Entity (other than Active Non-Financial Entity classifications)
- Passive Non-Financial Entity (Passive Non-Financial (Foreign) Entities as indicated under FATCA or CRS classification above

If the Entity is a Passive Non-Financial (Foreign) Entity or an Investment Entity with tax residence in non-participating jurisdiction and managed by another FI, please provide details of any Controlling Persons by completing Section 8.5 “Controlling Person Self-Certification Form for FATCA and CRS” below.

The term Controlling Persons is to be interpreted in a manner consistent with the recommendations of the Financial Action Task Force. If there are no natural person(s) who exercise control of the organisation, then the Controlling Person(s) will be the natural person(s) who hold the position of senior managing official in the organisation.

8.5 Controlling Person Self-Certification Form for FATCA and CRS

8.5.1 Controlling Person Identification

Please refer to the Glossary in Appendix 2.

Name	<input type="text"/>
Date and Place of Birth	<input type="text"/>
Nationality	<input type="text"/>
Residential Address	<input type="text"/>
Correspondence Address (if different)	<input type="text"/>
National ID Number (where appropriate)	<input type="text"/>

8.5.2. FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes*

Please tick and complete as appropriate.

- I confirm that I **am** a U.S. citizen and/or resident in the US for tax purposes and my US federal Taxpayer Identifying Number (US TIN) is:

TIN	<input type="text"/>
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OR

- I confirm that I **am not** a US citizen or resident in the US for tax purposes.

8.5.3 CRS Declaration of Tax Residence (please note you may choose more than one country)

Please indicate all countries of Tax Residence and associated Tax Identification Numbers.

Country of Tax Residence	Tax ID Number*

Provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a (TIN).

If you do not have a TIN please explain why?

8.5.4 Type of Controlling Person (to be completed by any individual who is a Controlling Person of an Entity)

For Joint or multiple Controlling Person's please use a separate Self-Certification Form for each Controlling Person (please refer to the Glossary in Appendix 2).

Please provide the Controlling Person's Status by ticking the appropriate box	Please tick	Entity Name
a. Controlling Person of a legal person – control by ownership		
b. Controlling Person of a legal person – control by other means		
c. Controlling Person of a legal person – senior managing official		
d. Controlling Person of a trust - settlor		
e. Controlling Person of a trust – trustee		
f. Controlling Person of a trust – protector		
g. Controlling Person of a trust – beneficiary		
h. Controlling Person of a trust – other		
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		

k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent		

Declaration and Undertakings

I/We declare that the information provided in this Self-Certification Form is, to the best of my/our knowledge and belief, accurate and complete.

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

I/We acknowledge that the information, data disclosed in this Self-Certification Form may be disclosed to the Luxembourg tax authorities or any other authorised delegates under Luxembourg law for tax purposes.

Authorised Signatory

Print Name

Date

Signature

Authorised Signatory

Print Name

Date

Signature

Section 9: Anti-Money Laundering (AML) and Terrorist Financing Prevention

Pursuant to the applicable laws and regulations relating to the prevention of money laundering and the financing of terrorism, the Fund, the Management Company and/or the Administrator (together the "Companies") must identify the applicant and the economic origin of the funds to be invested. Such laws and regulations require subscribers to declare to the Fund, the Management Company and/or the Administrator their identity and the identity of any Beneficial Owners of the subscription (as defined below). The Companies are required to establish controls to determine the identity of subscribers, beneficial owners, investor proxies (and any persons on whose behalf they are acting).

Pursuant to the Luxembourg Law of November 12, 2004, as amended on the fight against money laundering and terrorist financing, the CSSF Regulation n°12-02 of December 14, 2012, the CSSF Circular 17/650 of 17 February 2017 and EU Directives issued by the European Parliament and Council relating to the prevention of money laundering and terrorist financing, as amended from time to time (the "Anti-Money Laundering Laws"), obligations have been imposed on all professionals of the financial sector to prevent the use of undertakings for collective investment for money laundering purposes and terrorist financing purposes.

The Administrator will perform the procedure for the identification of Shareholders in accordance with the obligations set forth by the Anti-Money Laundering Laws.

Required documentation

Shares will only be issued once the Administrator has received a duly completed, original Application Form and Authorised Signatory List, together with cleared subscription monies and any required identification documents (see below). Should a subscriber fail to provide the requested documents or information, the subscription monies or any required identification documents in a form acceptable to the Fund, the processing of the application may be delayed or rejected.

In relation to any application for subscription or redemption, or transfer of Shares, the Fund and/or the Administrator may require at any time such documentation as they deem appropriate. Failure to provide such information in a form which is satisfactory to the Fund and/or the Administrator may result in any application or transfer request not being processed. Should documentation not be forthcoming about the return of payments or the redemption of Shares, then such payment may not proceed.

In addition to the Application Form, further documentation will be requested in order to comply with any legal and regulatory requirements. Please see additional details available in Appendix 1.

The list of documents will depend on:

- Entity type: Financial Institution or assimilated (A), Company or assimilated (B), Trust (C), retail investor (D)
- Account risk level determined by the Administrator

In some cases, the applicants are required to supply originals or certified true copies of documents. Please refer to the certification rule in Appendix 1

Section 10: Declarations and Legal Information

10.1 Keeping Documentation Up to Date

I/We hereby declare that I/we will provide the Administrator with all the required documentation following or any changes affecting the information provided this Application Form.

10.2 Politically Exposed Persons

A. Institutional / Entity investor

If you are an individual, retail investor, please complete section B below.

No Politically Exposed Persons (PEP)

Neither the legal representatives nor the beneficial owner(s), partner, associate or member is/are (a) person(s) who is/are or has/have been entrusted with prominent public functions and/or an immediate family member(s) or person(s) known to be close associates, of such persons entrusted with prominent public functions.

Politically Exposed Persons (PEP)

Our entity is owned, controlled or represented by the following PEP(s) directly or indirectly (in upper chain of ownership entities):

First name	Last name	Address	Date of birth	Place of birth	Nationality	Public function

B. Individual/retail investors

No Politically Exposed Persons (PEP)

Neither the investor(s) nor the beneficial owner(s) are (a) person(s) who is/are or has/have been entrusted with prominent public functions and/or an immediate family member(s) or person(s) known to be close associates, of such persons entrusted with prominent public functions.

Politically Exposed Persons (PEP)

If our account is controlled or represented at any level by a PEP(s), we commit to disclose them here below and provide name(s), address(es), Place & Date of Birth(s), Nationality, National ID number(s) and specify their public function(s).

10.3 Restrictions on Share Classes/Institutional Share Class

If we subscribe into a Share Class of the Fund, administered by the Administrator, we certify that we have checked the eligibility of any underlying investor on behalf of whom we act before subscribing in any given Share Class.

We also confirm that we will notify with no undue delay, the Administrator should any underlying investor on behalf of whom we subscribe cease to be eligible to hold any given Share Class.

10.4 Screening and identification of employees

Screening and Identification of Employees

We hereby certify that the identity of our employees is verified and screened against sanction lists issued by the relevant Authorities (such as the ones administered by the European Union, the United Nations and the United States Department of the Treasury - Office of Foreign Assets Control).

Would our entity not perform those controls, we commit to declare it below:

We do not perform identification and screening on our employees

We, the MLRO or the Senior Management confirm that the above statements are true and complete.

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

10.6 Acknowledgement and Declarations

The Applicant(s) acknowledge that the details set out above are true and correct and the investment in the Fund reflects their wishes accurately.

The Applicant(s) acknowledge that this application is made on the basis of and subject to the current Prospectus of the Fund, a copy of which was offered, received, read and understood by them, and to the provisions of the Articles of Incorporation of the Company.

The Applicant(s) hereby declares that (i) the Shares are not being acquired in violation of any applicable law or regulation in the jurisdiction in which the applicant are resident or domiciled, (ii) the applicant(s) are fully informed as to the tax consequences of acquiring, owning and redeeming the Shares in the jurisdiction in which the applicant(s) are resident or domiciled and (iii) the Shares will not be owned beneficially by a person under 18 years of age.

The Applicant(s) declare that they are not a United States Person and are not acquiring shares for the account or benefit of any United States Person or with a view to their offer, sale, transfer or delivery, directly or indirectly, in the United States or to or for the benefit of any United States Person (as such a term is defined in the Prospectus).

The Applicant(s) understands that income received and redemptions paid will only be made to the registered shareholders(s).

The Applicant(s) accepts that no third-party payments will be made.

The Applicant(s) acknowledges that the Fund, Management Company, the Investment Manager, the Depository and the Administrator shall be held harmless and indemnified against any loss arising as a result of any acquisition by the applicant(s) of the Shares in violation of any applicable law or regulation in the jurisdiction in which the Applicant(s) is/are resident or domiciled.

The Applicant(s) acknowledge(s) that due to legislation aimed at combating money laundering in force in Luxembourg, the Administrator will require proof of identity before this application can be processed. The Applicant(s) has/have read and understood the provisions in this Application Form entitled 'Anti-Money Laundering Declarations' and provided the required information and documentation to the Administrator.

The Applicant(s) declare(s) that he/she/they will provide the Fund with any documentation, information, waivers and certifications that the Fund may request concerning or relating to (a) sections

1471 to 1474 of the Internal Revenue Code of 1986 (the 'Code'), as amended, or any associated regulations or other official guidance, (b) any treaty, law, regulation or other official guidance enacted in any other jurisdiction, or relating to an intergovernmental agreement between the United States of America and any other jurisdiction which (in either case) facilitates the implementation of paragraph (a); or (c) any agreement pursuant to the implementation of paragraph (a) or (b) above with the US Internal Revenue Service, the US government or any governmental or taxation authority in any other jurisdiction (collectively 'FATCA').

The Applicant(s) will notify the Fund within 30 days of the occurrence of any change in circumstances that causes any documentation, information, waiver or certifications provided by the undersigned pursuant to the preceding sentence to be incorrect, obsolete or invalid and (ii) promptly provide corrected information and execute and deliver updated and valid documentation, waivers and certifications upon the occurrence of any change in circumstances described in clause (i) hereof.

The Applicant(s) hereby give(s) the Fund and the Administrator the instruction to provide the Fund with their shareholding positions in the Fund together with their complete name and details on a regular basis. The Applicant(s) kindly ask(s) the Fund and the Administrator to provide such reporting on the frequency determined by the Fund from time to time until such time as any written instruction to the contrary is provided from the Applicant(s).

The Applicant(s) acknowledge(s) that the Shares have not been and will not be registered under the 1933 Act or any United States State Securities Laws.

The Applicant(s) hereby declare(s) that unless they have received the prior written consent of the Administrator, the Shares are not being acquired directly or indirectly in the United States or by (or for the benefit of) a US Person (as defined in the prospectus).

The Applicant(s) hereby understand(s) that, Shares will be issued in non-certificated form, and a holder number will be allocated to the Applicant(s) on the contract note issued by the Administrator and the Applicant(s) must quote this number on all correspondence with the Administrator which shall not act upon any instruction unless it contains such holder number.

The Applicant(s) further understand(s) that the Administrator is authorised to accept and execute

Application Form

any instructions given in writing in respect of such Shares irrespective of the amount and, in the case of transfers, of the name or signature of the transferee and the Administrator shall not be required in any such case to require proof of identity, but shall be entitled to accept the Applicant(s) holder number as proof of authenticity.

The Applicant(s) understand(s) that the Fund has issued a key investor information document ('KIID'), per Share Class. The Applicant(s) acknowledge(s) that the most up-to-date version of the KIIDs can be obtained from the website of the Fund and consent to being provided with the KIIDs in this form via the website. The Applicant(s) acknowledge(s) and confirm (s) that, once the KIIDs have been issued, the Applicant(s) has/have had the opportunity to receive, read and understand the relevant KIID(s) prior to making any application for Shares in the Fund.

The Applicant(s) confirm(s) that they have read and understood the information contained in this Application Form and request the Administrator to act in accordance with the Applicant(s)'s instructions. The Applicant(s) confirm(s) that this application is made in accordance with the terms set out in the Prospectus and KIID for the relevant Share Class.

The Applicant(s) acknowledge(s) and agree(s) that any confidential information provided to the Fund,

the Management Company, the Investment Manager or its investors shall be kept confidential and shall not be disclosed to any third party unless (i) required by law or by any court of law or by any regulatory authority; (ii) required in connection with any Investment (or potential Investment) made or to be made by the Fund (including but not limited to requirements to disclose the identity and/or holding of any investor as a precondition of the Fund making an investment); or (iii) with the prior consent of such investor (such consent not to be unreasonably withheld or delayed). Confidential information shall mean information in relation to an investor's name, citizenship, residency, financial information, ownership or control (both direct and indirect), information in relation to its holding in the Fund.

The Applicant(s) acknowledge(s) that where Shares are issued to and held within a recognised clearing and settlement system, the Applicant(s)'s name will not appear on the Fund's Register. The Applicant(s) Shares will be held in a nominee capacity that may differ depending on the arrangements the Fund has made with the specific recognised clearing and settlement system.

The Applicant(s) acknowledge(s) that he/she/they may, in such case, not be able to fully exercise their rights directly against the Fund.

Section 11: Applicable Law and Jurisdiction

This Application Form shall be enforced, governed and construed in all respects in accordance with the laws of the Grand-Duchy of Luxembourg. Any dispute, controversy or claim arising out of or relating to this Application Form shall be submitted to the jurisdiction of the courts of the district of Luxembourg-City.

The following forms of identification and verification need to be provided. Documents will need to be certified by an Embassy, Notary Public, Solicitor or an authorised representative within an acceptable banking institution.

Section 12: Signatures

IMPORTANT INFORMATION

All investors must sign.

Please note we encourage all investors to read and consider the current Prospectus before completing this application form. To comply with money laundering legislation, the Fund and the Administrator reserve the right to request applications for shares to provide proof of identity and origin of monies being invested. Where it is necessary for us to hold money on your behalf, we will do so in a segregated client account without paying interest.

By signing below the Applicants hereby (i) states all the representations, warranties and covenants made in this application are true and correct, (ii) represents and warrants.

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
Date	<input type="text"/>
Signature	<input type="text"/>

Authorised Signatory

Print Name	<input type="text"/>
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Application Form

Date

Signature

APPENDIX 1: Customer Due Diligence Requirements

The section below details the documents (and their format: simple copy, original or certified true copy (CTC)) required by the Administrator to make your account compliant to applicable laws and regulations. The list of documents depends on:

- **Entity type**
 - Financial Institution or assimilated (A), Company or assimilated (B), Trust (C), retail investor (D)
- **Account risk level determined by the administrator risk analysis**
 - The level of risk depends on a combination of factors such as your country of residence, sector of activity, if the entity is regulated and/or listed, etc. Our analysis is based on the information provided to the Administrator AML specialists.

Due Diligence applicable to your account

The Administrator requires you to provide the set of documents under “Standard Due Diligence” (STDD) of your entity type. The assigned risk level of your account may evolve until full completion of the documentation analysis is complete. Should your risk level be considered as higher during the review, the Administrator will require additional information and/or documents to comply with the “Enhanced Due Diligence” (EDD) requirements.

“Simplified Due Diligence” (SDD) If you think that a SDD could be applied to your account, please make sure you receive formal approval from the Administrator before providing them with the SDD pack of documents.

Power of Attorney (POA)

Any entity authorising a third-party to act on its account will provide the administrator with a duly dated and signed document, detailing the power of the third party. Any third-party authorised to act on an account will also be invited to provide the administrator with a full pack of documentation based on its entity type and risk level.

Financial Institution, Nominee Company, Collective Investment Scheme (‘CIS’), Pension Scheme (regulated, not regulated, including Trust Pension Schemes) and any other financial company (i.e., Central Bank, Insurance, etc.)

A. All financial/credit institutions and their branches/ subsidiaries/ nominees

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Copy	Original	Original
(ASL) Authorised Signatures List (dated, certified by two authorised persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Share register/evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC

Application Form

Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
Evidence of regulation	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Wolfsberg Questionnaire (if acting OBO 3rd party only)	Copy	Copy	CTC – Original
AML Letter	n/a	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

In case the entity is a Nominee Company, or a subsidiary of a regulated financial institution, please also provide:

Documents to provide to the Administrator	SDD	STDD	EDD
Parent Company letter (signed by Compliance officer)	Copy	n/a	n/a
Parent (ASL) authorised Signatures List	Copy	n/a	n/a
Parent Wolfsberg Questionnaire	Copy	Copy	Copy
Evidence of regulation of the parent entity	Copy	Copy	CTC – Original

B. Public bodies (government or public authority)/Sovereign Wealth funds

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorised Signatures List (dated, certified by two auth. persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner	>25% info	>25% copy	> 10% CTC

Source of Wealth / Source of Funds	Info	Info	CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC/ Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC/ Original
Financial report	n/a	n/a	CTC – Original

C. Pension schemes

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Copy	Original	Original
(ASL) Authorised Signatures List (dated, certified by 2 auth. Persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC
Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles, trust deed or equivalent	n/a	Copy	CTC – Original
Evidence of regulation (ex: EIOPA, if applicable)	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Latest Pension Scheme Rules or Wolfsberg questionnaire	Copy	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

Note that some additional documents might be required regarding the employer/settlor or the pension fund, depending on the risk.

D. Collective Investment Schemes (CIS)

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Copy	Original	Original
(ASL) Authorised Signatures List (dated, certified by 2 auth. Persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, AML letter or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC
Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest Constitutional Document (e.g. Prospectus)	Copy	Copy	CTC – Original
Evidence of regulation (if applicable)	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Wolfsberg Questionnaire (from the regulated CIS or from the regulated entity performing AML)	Copy	Copy	Copy
AML Letter (from the regulated CIS or from the regulated entity performing AML)	n/a	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

E. Listed company on a regulated market

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorised Signatures List (dated, certified by 2 auth. persons)	Copy	CTC – Original	CTC – Original

Application Form

Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	info	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original
Evidence of listing	Copy	Copy	Copy
Assessment on the floating rate	n/a	Copy	Copy

F. Commercial Companies, Limited Liability Companies, branches/subsidiary of a listed company

Documents to provide to the Administrator	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorised Signatures List (dated, certified by two authorised persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	n/a	>25% Copy	>10% Orig.

Source of Wealth / Source of Funds	Info	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original
Branches/subsidiaries of a listed company			
Evidence of Ownership by Parent	Copy	Copy	CTC – Original
Evidence of listing (Parent)	Copy	Copy	Copy
Assessment on the floating rate (Parent)	Copy	Copy	Copy

G. Partnerships

Documents to provide to the Administrator	STDD	EDD
(AF) Application Form	Original	Original
(ASL) Authorised Signatures List (dated, certified by two authorised persons)	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	CTC – Original
Latest constitutional document (e.g. Limited Partnership Agreement)	Copy	CTC – Original
List of directors (in DDQ or separated document)	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original
Financial report	n/a	CTC – Original

Please note that we might require additional KYC requirements for the General Partner (GP), and all other Partners, depending on the structure.

H. Foundations, charities, churches, clubs, societies, associations, parties, schools, colleges, universities, trade unions.

Documents to provide to the Administrator	STDD	EDD
(AF) Application Form	Original	Original
(ASL) Authorised Signatures List (dated, certified by two authorised persons)	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Extract from Commercial Register, certificate of Inc., or equivalent	Copy	CTC – Original
Latest constitutional document (e.g., Foundation deed, trust deed, rules, charter)	Copy	CTC – Original
List of directors/Trustees (in DDQ or separated document)	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original
Financial report	n/a	CTC – Original
Foundations only		
Valid ID (+ proof of address if EDD) for founder(s) (if applicable)	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Protectors(s) (if applicable)	Copy	Copy
Charities only		
Evidence of regulation (if applicable)	Copy	Copy

Please note that we might require additional KYC requirements for the Founder (s) and/or Protectors, depending on the structure.

I. Trusts (patrimonial, other)

Documents to provide to the Administrator	STDD	EDD
(AF) Application Form	Original	Original
(ASL) Authorised Signatures List (dated, certified by 2 auth. persons)	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Settlor & Trustee	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Protector	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire (in the name of the Trust)	Copy	Original

Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% - CTC
Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Source of Wealth / Source of Funds	Info	Evid –CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Evidence of regulation (if applicable)	Copy	Copy
Trust deed / Constitution document	Copy	CTC – Original
Extract from register of Trust / Trustees (if available)	Copy	CTC – Original
Financial Report (if applicable)	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original

J. Investor Type – Natural Persons (Retail Investor)

Sole Account Holder

Please note, for Sole Account Holders with payment of redemption/cash distribution proceeds to a joint bank account, for each person named as a bank account holder, please provide a CTC or original Valid ID, proof of address and the GDPR consent form, available upon request.

Documents to provide to the Administrator

	STDD	EDD
(AF) Application Form	Original	Original
Valid ID of the Applicant	Copy	CTC – Original
Proof of address of the Applicant	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Original
Valid ID of Beneficial Owner	Copy	CTC
Source of Wealth / Source of Funds	Info	Evid – Orig.
(CRS / FATCA) tax Self Certification Form for Beneficial owner	Copy	Copy
(SSI's) Settlement Instructions (IN/OUT)	CTC – Original	CTC – Original
Bank Statement matching SSIs	Copy	CTC – Original

Joint Account Holder

Please note that in the case of a joint account, we must receive all documents mentioned above, for each party.

Guidelines, explanations and frequently asked questions

List of authorised signatures, power/regime and specimen of signature

Please provide a complete list of authorised signatures which will include the exhaustive list of persons who may sign for the entity, the global regime of signature of the entity or, by default, the specific power of signature of each individual included in the list and a specimen of their signature.

Ideally the document will be an official booklet edited by the company or an original or a CTC document. In case of a simple copy, this document must be dated, stamped with the official stamp of the company and certified by two authorised persons of the company who can be readily identified by the administrator (e.g., persons mentioned in company statutes or present in an old version of the company signatures list). Those two persons cannot be the signatories of the Application Form and/or any deal.

Certification rules – Original Documents

1. Certification by an independent professional

Unless otherwise in some specific cases and confirmed on a case by case basis, the Administrator will always require original documents or certified true copies of documents, provided that they have been certified by an independent professional person such as the following: Sworn Lawyer / Solicitor (a firm will not be accepted) / Public Notary / Embassy, Consulate, Public Administration / Commissioner of oaths / Professional of the Financial Sector (PFS) regulated in a low risk country / Chartered Accountant

2. Self-certification

For internal documents of the entity (e.g., Financial reports), the administrator may accept self-certification performed by a duly authorised person for whom the administrator can identify the signature. Self-certification will be accepted only in case of a Simplified Due Diligence (SDD) or a Standard Due Diligence (STDD), not for an Enhanced Due Diligence (EDD).

3. Required information

For the certified documentation to be accepted, the following must all be clearly stated by the certifier:

- Full Name and Signature in wet ink of the individual certifying the document
- Name (and address if possible) or company stamp of the organization for which the individual works, including his position
- Date the certification was performed.
- The statement that "I certify that this is a complete and accurate copy of the original"

Settlement Instructions (SSI's) - Bank Statement

The entity will provide the Administrator with a full list of bank accounts to which cash proceeds will or are likely to be paid during the period of the investment. This list will ideally be an official booklet of SSI's or on entity's letterhead or else clearly stated on the Application Form.

For an entity, a formatted list duly signed by authorised persons of the entity will be accepted, as long as it includes the information stated below, but for a retail investor, a bank statement will be required.

- **Beneficiary** (Complete Name, Beneficiary account number / IBAN)
- **Beneficiary BANK** (Complete name and address, account of the beneficiary bank with its correspondent when applicable, SWIFT/ABA (US) /SORT (GB) code)
- **Correspondent of the Beneficiary Bank** (Complete name and address, SWIFT code (and/or sort code / ABA code when applicable)

Identification documents (ID card – passport) and verification

When verifying the investor's identity, the administrator may require passports or national ID. These documents must be current (i.e., unexpired) and valid on the date of the initial investment made by the investor.

Proof of address (documents accepted)

When indicated in the requirements, the administrator will need to verify the residence of the investor (or any related party) based on documents or information obtained from a reliable and independent source. Documentation or information will be accepted by the administrator where the administrator has reasonable grounds to believe that such documents or information can be relied upon to confirm the residence of the investor. P.O. Boxes are not considered as a physical residence. Utility bills and phone bills are example.

APPENDIX 2: Glossary (CRS)

Note: These are selected definitions provided to assist you with the completion of the Tax Self-Certification form. Further details can be found in the Directive 2014/107/EU of 9 December 2014 “as regards to mandatory automatic exchange of information” and in the OECD Standard for Automatic Exchange of Financial Account Information (“OECD Common Reporting Standard, CRS”).

Account Holder

The “Account Holder” is the person listed or identified as the holder of the debt or equity interest. This is regardless of whether such person is a flow-through Entity.

A person, other than a financial institution, holding a debt or equity interest for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

Financial Institution

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to financial institutions.

Resident for tax purposes

Generally, a person will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction.

TIN (including “functional equivalent”)

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, the social security number.