

***Apsley Fund ICAV
Application Form***

In order to open an account in Apsley Fund ICAV (the “Company”) this form should be completed then sent by fax to the above number. The original document should be sent to the above address together with the required documentation. This form can facilitate multiple bank details (e.g. for different currencies).

Unless defined elsewhere in this Application Form, all capitalised terms used shall have the meanings given to them in the prospectus of the Company and each supplement for the relevant sub-funds of the Company (each a “Fund”), as may be amended from time to time, (collectively the “Prospectus”).

Neither the Prospectus nor this Application Form constitutes an offer or solicitation to anyone in any state of the United States or in any other jurisdiction in which such offer or solicitation is not authorised.

Your personal information will be handled by the Administrator or it’s duly appointed delegates as Data Processor for the Fund in accordance with the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018) (collectively, "Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners.

I/We agree to be bound by the representations and statements set out in this Application Form.

For any KIID related queries, please contact Albemarle Asset Management at Info@albemarleasset.com.

Please ensure that you have read the Prospectus and the Key Investor Information Document (the “KIID”) before completing this Application Form. The KIID is available for all sub-funds at <https://www.albemarleasset.com> and www.optima.com

PLEASE NOTE THAT IF YOU ARE A U.S. PERSON OR ENTITY, YOU SHOULD COMPLETE THE SUBSCRIPTION BOOKLET FOR UNITED STATES INVESTORS AND NOT THIS FORM. A COPY OF THE SUBSCRIPTION BOOKLET FOR UNITED STATES INVESTORS CAN BE OBTAINED FROM APSLEY FUND ICAV, c/o NORTHERN TRUST INTERNATIONAL FUND ADMINISTRATION SERVICES (IRELAND) LIMITED, TRANSFER AGENCY DEPT., GEORGE’S COURT, 54-62 TOWNSEND STREET, DUBLIN 2, IRELAND (Tel: +353 1 434 5118 Fax: +353 1 434 5284) OR FROM OPTIMA FUND MANAGEMENT LLC, 10 EAST 53RD STREET, NEW YORK, NY 10022 (Tel: +1 212 484 3000 Fax: +1 212 484 3001)

Account Name:
Full Name of Applicant:

Registered/Permanent Address:	Correspondence Address: <i>(if different)</i>
Phone Number:	Phone Number:
Fax Number:	Fax Number:
Contact Name:	Contact Name:
E-mail address:	

Northern Trust International Fund Administration Services (Ireland) Limited must receive this Application Form by 16:00 (Irish time) at least two (2) Business Days prior to the relevant Dealing Day. Payment for subscriptions should be received no later than 16.00 (Irish time) one (1) business day prior the relevant Dealing Day.

Dealing Date:	Settlement Date:
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Dealing instructions can also be accepted by other electronic means. A list of authorised persons with contact details would be required, as follows. **The original instruction must follow in the post to the above address.**

Account Name	Authorised Person	Telephone number

AGENT DETAILS:

Agent Name:

<table border="1"> <tr><td>Address:</td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td>Fax Number:</td></tr> <tr><td>Contact Name:</td></tr> <tr><td>VAT Registration No:</td></tr> <tr><td>E-mail address:</td></tr> <tr><td> </td></tr> </table>	Address:					Fax Number:	Contact Name:	VAT Registration No:	E-mail address:		<table border="1"> <tr><td>Agency Stamp</td></tr> <tr><td> </td></tr> <tr><td>Agency Number:</td></tr> <tr><td>Regulator:</td></tr> <tr><td>Regulator Approval No:</td></tr> </table>	Agency Stamp		Agency Number:	Regulator:	Regulator Approval No:
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Agency Number:																
Regulator:																
Regulator Approval No:																

I/We hereby apply for such number of Shares at the subscription price calculated in accordance with the Articles in each of the following Fund(s) as may be subscribed for with the amount indicated below:
Subscription monies will be for the account of the relevant Fund

Fund Name	Fund Code	Monetary Amount	Payment Currency	Minimum Amount
Optima Star Long Fund Class A			EUR	€5,000
Optima Star Long Fund Class B			USD	\$5,000
Optima Star Long Fund Class C			CHF	CHF5,000
Optima Star Long Fund Class G			EUR	€250,000

Fund Name	Fund Code	Monetary Amount	Payment Currency	Minimum Initial Amount
Optima Star Fund Class A			EUR	€5,000
Optima Star Fund Class B			USD	\$5,000
Optima Star Fund Class C			CHF	CHF5,000
Optima Star Fund Class G			EUR	€250,000
Optima Star Fund Class H			USD	\$250,000
Optima Star Fund Class I			CHF	CHF250,000
Optima Star Fund Class X			EUR	N/A

Fund Name	Fund Code	Monetary Amount	Payment Currency	Minimum Initial Amount
Optima Lloyd George Asia Fund Class A			EUR	€5,000
Optima Lloyd George Asia Fund Class B			USD	\$5,000
Optima Lloyd George Asia Fund Class G			EUR	€1,000,000
Optima Lloyd George Asia Fund Class H			USD	\$1,000,000

Fund Name	Fund Code	Monetary Amount	Payment Currency	Minimum Initial Amount
Target Global Equity Fund Class I			EUR	€1,000

Anti-dilution Fees

Please indicate the code to detail which entry charge should be applied to this subscription/redemption. Please contact the Investment Manager for more details.

Code	
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Bank Account Details for Redemption Payments (to be completed by the Investor)

	EUR
Intermediary Bank	
Name of Bank	
Swift code	
Sort Code/ABA No.	
Account Number	
Account Name	
Address of Bank Branch (including country)	
Reference	

	USD
Intermediary Bank	
Name of Bank	
Swift code	
Sort Code/ABA No.	
Account Number	
Account Name	
Address of Bank Branch (including country)	
Reference	

	CHF
Intermediary Bank	
Name of Bank	
Swift code	
Sort Code/ABA No.	
Account Number	
Account Name	
Address of Bank Branch (including country)	
Reference	

All proceeds will be paid to the above accounts.

NOTE: NO THIRD PARTY PAYMENTS WILL BE UNDERTAKEN.

NOTE: A REQUEST TO CHANGE BANK ACCOUNT DETAILS MUST BE MADE IN WRITING TO THE ADMINSTRATOR AND MUST BE ACCOMPANIED BY A BANK STATEMENT OR BANKER'S REFERENCE.

All subscription payments should be made to the following bank accounts

	EUR
Intermediary Bank	Barclays Bank PLC, Frankfurt
Swift code	BARCDEFF
Address	TaunusTurm, Taunustor 1, 60310 Frankfurt am Main, Germany
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey
Swift Code	CNORUS33
Account Number:	0210472800
Beneficiary Account Name & Number	Apsley Fund ICAV 638296-20019
Reference	Apsley Fund ICAV & investor account number

	CHF
Intermediary Bank	Credit Suisse AG
Swift code	CRESCHZZ80A
Address	Giesshuelstrasse 30 CH-8070 Zurich Switzerland
IBAN	CH1004835098499033010
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey
Swift Code	CNORUS33
Beneficiary account name & number:	Apsley Fund ICAV 638304-20019
Reference	<i>Apsley Fund ICAV & investor account number</i>

	USD
Name of Bank	The Northern Trust International Banking Corporation, New Jersey
Fedwire ABA	026001122
CHIPS ABA	0112
Swift code	CNORUS33
Address	Harborside Financial CTR, Plaza 10, Suite 1401 3 Second Street Jersey City, NJ - 07311-3988
Account Number	147611-20010
Account Name	Apsley Fund ICAV
Reference	<i>Apsley Fund ICAV & investor account number</i>

Note: Currency Subscription Settlement times:
EUR 14:00 GMT;
USD 17:00 GMT;
CHF 14:30 GMT -1 DAY

Supplemental Investor Identification Information for AML/CTF Purposes

Due Diligence Information

Due Diligence Documentary Requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2018.

1. Guide to completing this form.

Part I – Purpose of the Investment.

Part II - This section must be completed by all applicants.

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

2. Certification of Documents – Required for High Risk countries

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

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

Suitable persons include:

- An authorised signatory of a Regulated Financial Institution or Credit Institution.
- An authorised signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or Practising Solicitor.
- A Practising Chartered or Certified Public Accountant.
- A person authorised to sign on behalf of an Embassy or a Consul.
- A practicing Barrister

Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the original document as seen by the person certifying the document.
- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

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

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

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

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

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

3. English Translations

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

language documents.

Apsley Fund ICAV
 c/o Northern Trust International Fund Administration Services (Ireland) Limited
 Transfer Agency Dept.
 George's Court
 54-62 Townsend Street
 Dublin 2
 Ireland
 Tel: +353 1 434 5118 Fax: +353 1 434 5284

Due Diligence Information - Purpose of the Investment

Part I to be completed only by natural persons and legal persons investing in their own name for their own benefit. Institutional investors and legal entities investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties are not required to complete Part I. This information is required to meet our AML obligations under the current AML legislation in Ireland and will be used solely for those purposes.

What is the expected annual subscription to the Fund _____

How frequent do you expect to trade in the Fund (please tick): Once-Off Subscription

Once a: Month Quarter Year

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

Please indicate the term of your investment (please tick): 3-5 years 5-10 years 10+ years

Due Diligence Documentation- Investor Type

Part I – All Investors

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

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

Occupation/Business Activity

If you, or any beneficial owners, are a Politically Exposed Person, please check the box

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

Due Diligence Documentation- Leverage Across Investments

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

Due Diligence Documentation- Ultimate Beneficial Owner

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

Corporate Entities

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or otherwise exercise control of the entity.

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

Please complete the below:

Name	Address	% Ownership or Control Function	Nationality	Date of Birth

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

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

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

Signature 1 _____ Print Name _____ Date _____

Signature 2 _____ Print Name _____ Date _____

Related Person Detail

Full names of all Related Persons:

- In the case of natural persons, Related Persons means any person authorised to act on behalf of the investor
- In the case of a company, Related Persons means the directors.
- In the case of a Partnership, Related Persons means the partners.
- In the case of a limited liability company (LLC), Related Persons means the managing members.
- In the case of a trust, foundation or similar legal arrangement, Related Persons means the trustees.

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- In the case of a charity/government body/ university/ school/ college/ club/ society, Related Persons means the authorising officers/ board members/ officials.

Name	Address	Nationality	Date of Birth

Due Diligence Documentation- Requirements

Part II- Due Diligence Requirements

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

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

Examples of Photographic Identity Documentation

- Current passport.
- Current driving licence.
- Current national identity card.
- Social welfare/revenue card or any identity document with photographic identity issued by a government department.

Examples of Proof of Address

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

Note: All documentation must reflect the current residential address and must be dated within the previous 3 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 3 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).

Letter of Assurance

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

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

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

Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Croatia, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Guernsey, Hong Kong, Hungary, Iceland, Ireland, Isle of Man, Italy, Japan, Jersey, Lithuania, Luxembourg, Malta, Netherlands (including Aruba), Norway, Poland, Portugal, Republic of Korea, Romania, Singapore, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, United Kingdom (including Gibraltar).

Deemed High Risk Countries

Afghanistan, Albania, Angola, Azerbaijan, Bahamas, Belarus, Belize, Benin, Bolivia, Bosnia and Herzegovina, Burma (Myanmar), Burundi, Cambodia, Cape Verde, Central African Republic, Chad, China, Colombia, Congo Democratic Republic, Congo Republic, Costa Rica, Cuba, Iran, Cyprus, Democratic People's Republic of Korea (North Korea), Democratic People's Republic of Korea (North Korea), Dominican Republic, Ecuador, Egypt, El Salvador, Equatorial Guinea, Eritrea, Ghana, Guatemala, Guinea, Guinea Bissau, Haiti, Honduras, India, Iran, Democratic People's Republic of Korea (North Korea), Iraq, Ivory Coast (Cote d'Ivoire), Jamaica, Jordan, Kazakhstan, Kyrgyzstan, Laos, Latvia, Lebanon, Liberia, Libya, Liechtenstein, Macau, Maldives, Marshall Islands, Mauritania, Mexico, Moldova, Monaco, Montenegro, Morocco, Mozambique, Myanmar (Burma), Namibia, Nicaragua, Nigeria, Pakistan, Palau, Palestinian Territories, Panama, Peru, Russia, Saint Kitts and Nevis, Saudi Arabia, Senegal, Serbia, Sierra Leone, Somalia, South Sudan, Sudan, Swaziland, Syria, Tajikistan, Tanzania, Tunisia, Turkey, Turkish Cypriot Administered Cyprus, Turkmenistan, Ukraine, United Arab Emirates, Uzbekistan, Venezuela, Vietnam, Yemen & Zimbabwe

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

Regulated Credit or Financial Institution

Where the applicant is a Regulated Credit or Financial Institution from one of the above referenced Equivalent Jurisdictions:

1. Please provide proof of regulation.

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

1. Full name of the company
2. Registered number of the company
3. Registered legal address and principal business address of the company
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

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

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

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the investment

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

Nominee Company

Where the applicant is a Regulated Nominee Company of a Credit or Financial Institution from one of the above referenced Equivalent Jurisdictions:

1. Please provide proof of regulation.

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

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

or

Please provide the following confirmations/documentation

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

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

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.

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

Listed Company

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

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

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered legal and principal business address of the company.
5. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

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

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

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company
10. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the investment.

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

Subsidiary of a Listed Company

1. Please provide proof of listing of the parent company on a Regulated Market.

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

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered legal and principal business address of the subsidiary company.
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.

5. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

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

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

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the investment.

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

Government / Public Body

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

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

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

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered legal address of the government body or public authority.
4. Details of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority.
7. Where the country is deemed medium risk by Northern Trust identify and verify the identity of two officials or, where applicable, one official and one authorised signatory.
8. Appropriate background information on the government body or public authority.

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

9. Photographic identity document and proof of address for 2 official of the government body or public authority.
10. Certified copy of the audited financial statements of the government body or public authority.

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

Pension Scheme

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

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

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

1. Full name of the pension scheme.
2. Registered legal address of the pension scheme.
3. One of the following:
 - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.Or
 - Identity of the controllers (trustees/ directors/ governors /board members or equivalent) of the scheme, Constitutional/Formation Document (e.g. Trust Deed) & appropriate background information e.g. via internet search.

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

4. Identify and verify the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); or
5. Receive written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

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

Collective Investment Scheme

1. Please provide proof of listing on a regulated financial market.

Where the applicant is a Collective Investment Scheme regulated as a designated person from one of the above referenced Equivalent Jurisdictions :

1. Please provide proof of regulation.

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

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent of the CIS.
4. Name and address of the promoter of the CIS.
5. Name and address of the administrator of the CIS.

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6. Name and address of the entity carrying out due diligence on the investors in the CIS and confirmation that this entity is regulated for AML purposes.
7. Names of any investors (Beneficial Owners) who own more than 25% of the share capital of the CIS.

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

8. Identify and verify the identity of any investors (beneficial owners) in the CIS who own more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; **or** Receive written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

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

Individuals (including Joint Account Holders)

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

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

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

3. Confirmation of Source of Funds.
4. Confirmation of Source of Wealth

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

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

Private and Unlisted Company

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

1. Full name of the Company.
2. Registered number of the Company.
3. Registered legal address and principal business address of the Company.
4. Details of the directors of the Company.
5. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

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

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

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

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.

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

Limited Liability Company

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

1. Full name of the LLC.
2. Registered legal address and principal business address of the LLC.
3. Identify all managing members
4. Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.
5. Identify and verify any member beneficially entitled to 25% or more of the entity's share capital or otherwise exercise control over the management of the entity.

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

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

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

8. Identify and verify the identity of any member beneficially entitled to more than 10% of the entity's share capital or otherwise exercise control over the management of the entity.

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

Partnership

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Identify all partners (where practical)
4. Verify the identity of all partners who own 25% or more of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund.
5. Verify the identity of the general partner and a second partner (or in the absence of same an authorised signatory).

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

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

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

7. Identify and verify the identity of at least two partners or, where applicable, one partner and one authorised signatory.
8. Identify and verify the identity of any partners who own more than 10% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership.

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

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

Trust

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

1. Full name of trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.
5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor where practicable.
8. Identify and verify the protector.
9. Identify the class of beneficiary or any beneficiary beneficially entitled to 25% or more of the trust's assets. (Verification of the class of beneficiary will only be required where payment is made directly to the beneficiary)
10. Identify and verify the identity of the beneficiaries who hold 25% or more of the beneficial interest where practicable.

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

Where the applicants are not Regulated Trustees investing on behalf of a Trust, or where the applicant is domiciled in an aforementioned high risk jurisdiction the following confirmations/ documentation should also be provided:

11. Identify and verify the identity of any partners who own more than 10% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership.
12. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

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

Foundation

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

1. Full name of the Foundation or similar entity.
2. Registered address of the Foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents equivalent **OR** confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder and where practical and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable. Where the trustee is regulated proof of regulation should be placed on file.
7. Identify any beneficiary beneficially entitled to 25% or more of the foundation's assets.

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

Where the applicants are not Regulated Trustees investing on behalf of a Foundation or similar entity, or where the applicant is domiciled in an aforementioned high risk jurisdiction the following confirmations/documentation should be provided:

1. Identify and verify the identity of the founder.
2. Confirmation of the funding of the foundation.
3. Identify and verify the identity of the beneficiaries who hold more than 10% of the beneficial interest, where practicable.

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

Charity

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

1. Nature/purpose of the charity
2. Nature and source of funding of the charity
3. Registered legal address of the charity & principal business address of the charity.
4. Names of all trustees/directors (or equivalent) of the charity.
5. Identify and verify the identity of the company secretary or equivalent or, where applicable, verify the identity of one of the trustees.
6. (If a charitable trust), details of the settlor of the charitable trust.
7. Names or classes of persons who stand to benefit from the objects of the charity.
8. Complete a check of a relevant charities register or source confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/HMRC/ Guidestar).

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

Where the applicant is not a registered Charity or where the applicant is domiciled in an aforementioned high risk jurisdiction please provide the following confirmations/documentation:

9. Certified copies of the audited financial statements.
10. Certified constitutional/ formation document of the charity.
11. Identify and verify the identity of the beneficiaries (where ascertainable) of the charity.
12. Identify and verify the settlor, where applicable.

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

Club or Society

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

1. Full name of the Club/Society.
2. Registered legal address and principal business address of the Club/Society.
3. Confirmation of the legal status of the Club/Society.
4. Nature/Purpose including the nature of funding of the club/society.
5. Confirmation of the legal status of the club/society.
6. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or complete a check of a relevant register (i.e. FCA or the Mutual Public Register in the UK).
7. List of officers of the club/society.
8. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

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

9. Audited financial statements for the Club/Society.
10. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.
11. Confirmation of the funding of the club or society.

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

School, College or University

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

1. Full name of the School, College or University.
2. Registered legal address and principal business address of the School, College or University.
3. Background information on the School, College or University and confirmation of the legal status of the School, College or University.
4. Confirmation of the nature/purpose of the School, College or University with details of how the School, College or University is funded.
5. Obtain names of main officials of the school etc.
6. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.
7. Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights.
8. Identify and verify the settlor, where applicable.

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

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

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

Church

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

1. Full name of the Church.
2. Registered legal address and principal business address of the Church.
3. Confirmation of the nature/purpose of the Church with details of how the Church is funded.
4. Confirmation of a relevant church register or a copy of the revenue approval for the church;
5. Names of all trustees/directors (or equivalent) of the church.
6. Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. Names or classes of persons who stand to benefit from the objects of the church (where ascertainable).
8. Identify and verify the settlor where applicable.
9. Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

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

10. Audited financial statements for the Church.
11. Identify and verify the beneficiaries (where ascertainable)
12. Identify and verify the settlor where applicable.

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

Trade Union

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

1. Full name of the Trade Union.
2. Registered legal address and principal business address of the Trade Union.
3. Establish whether the trade union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. Consider the legal form of the trade union, its stated purpose, aims and objectives using information from documents supplied for the trade union and through internet searches.
5. Deed or equivalent establishing the existence of the trade union (for example its constitution, bye-laws, rules).
6. Identify all persons and their functions who are empowered to make the investment on behalf of the trade union (president, secretary, treasurer and other senior committee members).

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

Representations & Warranties

Please note the following important provisions

Please delete any statement which is not relevant to you

** Please delete as appropriate*

1. I/We* confirm that I am/we are* 18 years of age or over. – *Please delete if you are not a natural person.*
2. If you are joint applicants – we direct that, on the death of one of us, the Shares for which we are applying shall be held in

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the name of and to the order of the survivor(s) or the executor(s) or administrator of the last such survivor. – *Please delete if you are not a natural person or a sole investor.*

3. I/We* confirm that I am/we are* not a US Person (as defined in the Prospectus) and am/are* not acquiring Shares on behalf of, or for the benefit of, a US Person, nor do I/we* intend transferring any Shares which I/we* may purchase to any person who is a US Person.
4. I/We* indemnify and hold harmless the Company, Investment Manager, Depository, Administrator and all of their respective officers, employees, directors, partners, agents, legal representatives and controlling persons and other shareholders ("**Indemnitees**") against any loss, expense, judgment, settlement cost, fee and related expenses (including attorneys' fees and expenses) due to or arising out of a breach of any representation, warranty or agreement by me/us contained herein or in any other document provided by me/us to the Company or any of its service providers in connection with this investment. I/we hereby agree to indemnify the Indemnitees, and to hold them harmless against all liabilities, costs or expenses (including attorneys' fees) arising as a result of the sale or distribution of the Shares by me/us in violation of any applicable law, including any applicable anti-money laundering laws and regulations operating within the respective jurisdictions, or any misrepresentation or breach by the us/we with respect to the matters set forth herein. In addition, I/we agrees to indemnify the Indemnitees and to hold such persons and firms harmless from and against, any and all loss, damage, liability or expense, including costs and attorneys' fees, to which they may be put or which they may incur or sustain by reason of or in connection with any misrepresentation made by the me/us with respect to the matters about which representations and warranties are required by the terms hereof or any breach of any such representations and warranties or any failure to fulfil any covenants or agreements set forth herein or included in and as defined in the Prospectus.
5. I/We* have received and considered a copy of the Prospectus dated 6 September 2018 and confirm that this application is based solely on the Prospectus for the Company current at the date of this application and the material contracts referred to in the Prospectus together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report.
6. I/We* represent and warrant that either (i) I/we are not purchasing the Shares with the assets of any employee benefit plan subject to U.S. Employee Retirement Income Security Act of 1974, as amended ("**ERISA**") or a plan subject to Section 4975 of the Internal Revenue Code or other similar law or (ii) the use of such assets to acquire the Shares does not constitute a non-exempt prohibited transaction for purposes of ERISA and Section 4975 of the Internal Revenue Code.
7. I/We* (if an entity) were not formed, and are not being utilized, primarily for the purpose of making an investment in the Fund.
8. I/We* undertake to observe and be bound by the provisions of the Instrument of Incorporation (as amended from time to time) constituting the Company and apply to be entered in the register of shareholders as the holder/holders of the Shares issued in relation to this application.
9. (a) The Administrator, the Investment Manager and the Company are each authorised and instructed to accept and execute any instructions in respect of the Shares to which this Application Form relates given by me/us in written form, by facsimile or by other electronic means.
(b) I/We* agree to indemnify each of the Administrator, the Investment Manager, and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon facsimile and/or electronic means. In circumstances where such instructions relate to a change in the bank account details for redemption payments referred to above, I/we* confirm that I/we* will provide you with an original instruction.
(c) The Administrator, the Investment Manager and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
10. I/We acknowledge the Administrator will refuse to process a redemption request on non-cleared / verified accounts.
11. (a) I/We* acknowledge that due to applicant identity verification requirements operating within their respective jurisdictions, the Administrator, the Investment Manager and the Company (as the case may be) may require further identification of the applicant(s) before the application can be processed.
(b) The Administrator, the Investment Manager, and the Company shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been required by the parties referred to have not been provided by me/us.
12. I/We* confirm that I/we* have the capacity and am/are* duly authorised to make this application and to make the representations and give the indemnities referred to in this Application Form.
13. I/We* request that the Shares issued pursuant to this Application Form are registered in the name and address set out on page 1 hereof.
14. I/We* accept such lesser number of Shares if any, than may be specified above in respect of which this application may be accepted.

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15. I/We* agree to provide these representations to the Company at such times as the Company may request, and (ii) to provide on request such certifications, documents or other evidence as the Company may reasonably require to substantiate such representations.
16. I/We* agree to notify the Company immediately if I/we* become aware that any of the representations made is no longer accurate and complete in all respects. I/We agree immediately either to sell or to tender to the Company for redemption of a sufficient number of Shares to allow the representations to be made again.
17. I/we confirm that I/we have received and read a copy of the KIID for the sub-fund and/or share classes to which this subscription relates in good time prior to completing this subscription form. I/we hereby confirm that for any subsequent investments, I/we will obtain and read the latest version of the relevant KIID prior to each subscription.
18. I/we acknowledge and agree that the KIID for each sub-fund and/or share class is available at www.optima.com and <https://www.albemarleasset.com> and I/we hereby agree to its receipt in that form. I/we confirm that I/we will read and review the most up-to-date version of the relevant KIID prior to subscription.
19. I/We acknowledge and agree that other than as set forth in the Prospectus, I/we are not relying upon any other information, representation or warranty by the Company. I/we have consulted, to the extent deemed appropriate by me/us, with my/our own advisors as to the financial, tax, legal and related matters concerning an investment in Shares and on that basis believe that an investment in the Shares is suitable and appropriate for me/us.
20. I/We confirm that I/we have read in detail the Privacy Notice included in this Application Form. I/We acknowledge that this document provides an outline of my/our data protection rights and the Company's data protection obligations as they relate to my/our investment in a Fund of the Company.

Irish Residency

1. Every applicant applying for Shares on the applicant's own behalf is hereby obliged to notify the Company or an agent of the Company appointed for this purpose (as the case may be) in writing if the applicant is or becomes resident or ordinarily resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the three preceding years of assessment (ie calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the three preceding years of assessment.
2. Every applicant applying for Shares on behalf of another person is hereby obliged to notify in writing the Company or an agent of the Company appointed for this purpose (as the case may be) if the applicant is, or becomes, aware that any person who is beneficially entitled to any of those Shares may be resident or ordinarily resident in Ireland or may have become resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the three preceding years of assessment (ie calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the three preceding years of assessment.
3. Every applicant applying for Shares who provides the Company or an agent of the Company appointed for this purpose (as the case may be) with an address in Ireland or details of any Irish situate bank account will (for Irish tax purposes) be treated by the Company as Irish resident unless the applicant provides the Company with a signed non-resident declaration confirming residence outside of Ireland. In such instances, the Company may be obliged to deduct Irish tax on certain events with respect to the applicant's Shares, as described in more detail in the Prospectus.

Data Privacy Notice

Where your details are provided to Apsley Fund ICAV (the "Fund") as a consequence of your investment in the Fund, then the Fund, acting as a data controller, may itself or through a third party (such as Northern Trust Fund Administration Services (Ireland) Limited, Northern Trust Global Services SE or Northern Trust Global Services, UK Branch) (the "Administrator") acting as a data processor in its capacity as the Fund's administrator process your personal information or that of your directors, officers, employees and / or beneficial owners.

When processing your personal information, there may also be times where the Administrator will act as an independent data controller in respect of your personal information. For the avoidance of doubt, the Administrator will not at any time be acting as a joint controller with the Fund.

Purposes of Processing and Legal Basis for 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 which are necessary for the performance

of your contract with the Fund, including without limitation the processing of subscription, redemption, conversion, transfer and additional subscription requests, and the payment of distributions;

- in order to carry out anti-money laundering checks and related actions which the 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 legitimate interests of the Fund 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 (collectively "AML checks"), in accordance with the Fund'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 verification of instructions; (ii) investigation and fraud prevention purposes; (iii) for crime detection, prevention, investigation and prosecution; (iv) to enforce or defend the Fund's or its affiliates' rights, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Fund; (v) to pursue the legitimate interests of the Fund in relation to such matters; or (vi) where the processing is in the public interest;
- to disclose information to other third parties, such as service providers of the Fund, auditors, regulatory authorities and technology providers, in order to comply with any legal obligation imposed on the Fund or the Administrator or in order to pursue the legitimate interests of the Fund or the Administrator;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund or the Administrator to improve their service delivery;
- to update and maintain records and carry out fee calculations in order to pursue the legitimate interests of the Fund or the Administrator or in order to comply with any legal obligation imposed on the Fund or the Administrator, and which are necessary to comply with the Fund's or the Administrator's legal obligations and / or which are necessary for the Fund's, the Administrator's or the Administrator's affiliates' legitimate interests indicated above and / or where the processing is in the public interest.

Recipients of Data and International Transfer of Data

The Fund may disclose your personal information as follows:

- to the Fund's service providers, including the Administrator and other third party service providers engaged by the Fund and their affiliates, in order to store or 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; and
- to the Administrator and / or its affiliates as joint controllers:
 - to create a single source record, relating to you, which is held, maintained and used by the Administrator and its affiliates as joint controllers in pursuance of the Administrator's, its affiliates' and the Fund's legitimate interests;
 - where you subscribe to use the Administrator's investor portal functionality, for the purposes of the performance of the Administrator's agreement with you in relation to your use of that portal functionality, including for security in connection with the portal;
 - to retain AML and other records of individuals to assist with subsequent screening of them by the Administrator or its affiliates, including in relation to other funds or clients of the Administrator or any of its affiliates in pursuance of the Administrator's, its affiliates' or its clients' legitimate interests and to meet any legal obligations imposed on the Administrator or its affiliates.

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In any case where the Fund shares your personal information with a third party data controller (including, as appropriate, the Administrator and its affiliates), the use by that third party of your personal information will be subject to the third party's own privacy policies. The Administrator's privacy policy may be accessed at <https://protect-eu.mimecast.com/s/SngfC4EySBvvoxtOdOEI?domain=northerntrust.com>.

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area ("EEA") in accordance with the requirements of the General Data Protection Regulation or outside the United Kingdom in accordance with the requirements of the UK Data Protection Act 2018 (as amended by the [draft] Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), as amended or replaced from time to time (the "Data Protection Law"). Such countries may not have the same data protection laws as your jurisdiction.

Where such countries are not recognised as having an adequate level of data protection by the European Commission or the relevant adequacy regulations made under the UK Data Protection Act 2018 (as amended by the [draft] Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), the Fund (i) has, or has authorised the Administrator as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred; (ii) acknowledges that the personal data will be transferred in accordance with the Binding Corporate Rules which have been adopted by the Northern Trust Group. Please contact the Fund or the Administrator for copies of (i) the Standard Contractual Clauses that have been entered into on behalf of the Fund and / or (ii) the Northern Trust Binding Corporate Rules.

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 its services and / or carry out the purposes for which the data was collected, or perform investigations in relation to same and / or for additional periods where legal/regulatory obligations mandate that the Fund or the Administrator retains your personal information.

Updates to Personal Data

The Fund will use reasonable efforts to keep your personal information up to date. However, you will need to notify the Fund and the Administrator without delay in the event of any change in your personal circumstances, so that the Fund can keep the personal information up to date.

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, if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the Data Protection Law:

- with the supervisory authority in the EU Member State of your habitual residence or place of work or in the

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place of the alleged infringement; or

- where you are, or represent, an Investor in a Fund authorised in the UK, with the UK Information Commissioner's Office, contactable at Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF (or at the relevant regional office for Scotland, Wales or Northern Ireland, details of which are available at <https://ico.org.uk/global/contact-us/postal-addresses/>), casework@ico.org.uk or +44 (0)303 123 1113.

How to contact us

If you have any questions about our use of your personal information, please contact us at albemarle_ta_queries@ntrs.com and at Northern Trust International Fund Administration Services (Ireland) Limited, George's Court, 54-62 Townsend Street, Dublin 2, Ireland, Telefax: 353-1-434 5286, Telephone: 353-1-434 5007.

FATCA and CRS

- I/We shall provide the Company, the Administrator with any additional information which it may reasonably request in connection with tax and/or FATCA or CRS regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Company or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- I/We shall supply the Company with executed copies of those documents attached, or referred to, in Appendices 1 and 2 (for US and Non-US Taxpayers).
- I/We agree to provide to the Company and/or the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "**Tax Information**") in connection with this investment (including for the purposes of tax and/or FATCA, or CRS regulations/reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, and/or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company.
- In addition to the Tax Information, I/We agree to promptly provide, and periodically update at any times requested by the Administrator, any information (or verification thereof) the Administrator deems necessary to comply with any requirement imposed on the Company including pursuant to tax and/or FATCA or CRS reporting requirements (including any imposed by any inter-governmental agreement ("IGA") or any legislation in relation to any intergovernmental agreement). This may include such information as is required to evidence any accountholder in the Company's status for such purposes, but to include (not limited to) whether any accountholder is a "foreign financial institution" for FATCA purposes or a "financial institution" for CRS purposes, whether any of its accountholders are US persons for FATCA purposes or the jurisdiction of residence of its accountholders for CRS purposes. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Investment Manager to withdraw from the Company if necessary to comply with FATCA, IGA and CRS (as applicable).
- We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Company and/or the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We represent and warrant that we have any requisite consent to disclose any information to you. The Company shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Company harmless from any liability resulting from my/our failure to provide complete and accurate Information.
- I/We hereby acknowledge that if I/we fail to provide any information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Company.
- I/We hereby acknowledge that if I/we fail to provide any information and such failure results in the Company being unable to comply with the IGA or CRS (as applicable), the Investment Manager may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Company

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and its other investors for any losses resulting from the failure to meet mine/our obligations under this Section, including any U.S. withholding tax imposed on the Company.

Note: All investors must complete the relevant Self Certification FACTA and CRS Appendixes 1 or 2 in the Account Opening application form.

U.S. Federal Income Tax Status

The following is a summary of certain U.S. federal income tax consequences to non-U.S. Shareholders who purchase Shares in the offering. The discussion is based upon the United States Internal Revenue Code of 1986, as amended (the "**United States Internal Revenue Code**"), Treasury Regulations, judicial authorities, published positions of the Internal Revenue Service (the "**IRS**") and other applicable authorities, all as in effect on the date hereof and all of which are subject to differing interpretations or change (possibly with retroactive effect). The discussion does not address all of the tax consequences that may be relevant to a particular Shareholder or to Shareholders subject to special treatment under federal income tax laws. This discussion is limited to Shareholders who hold their Shares as capital assets. No ruling has been or will be sought from the IRS regarding any matter discussed herein. Counsel to the ICAV has not rendered any legal opinion regarding any tax consequences relating to the ICAV or an investment in the ICAV. No assurance can be given that the IRS would not assert, or that a court would not sustain, a position different from any of the tax aspects set forth below. **Prospective investors must consult their tax advisers as to the federal income tax consequences of acquiring, holding and disposing of Shares, as well as the effects of state, local and non-U.S. tax laws.**

PROSPECTIVE INVESTORS SHOULD ONLY CONSIDER AN INVESTMENT IN THE ICAV BASED ON ANTICIPATED PRE-TAX ECONOMIC RETURNS. TAX ADVANTAGES (I.E., DEDUCTIONS AND LOSSES) ARE NOT A SIGNIFICANT OR INTENDED FEATURE OF AN INVESTMENT IN THE ICAV.

For purposes of this summary, a "U.S. person" is a citizen or individual resident of the U.S., a corporation (or an entity treated as a corporation for U.S. federal income tax purposes) created or organized in the U.S. or under the laws of the U.S. or any political subdivision thereof, an estate the income of which is subject to U.S. federal income taxation regardless of its source, or a trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and one or more U.S. fiduciaries have the authority to control all substantial decisions of the trust or (ii) the trust was in existence on August 20, 1996 and properly elected to be treated as a U.S. person. Consequently, this summary addresses tax consideration for people and entities that are not U.S. persons. The U.S. federal income tax treatment of a partner or other beneficial owner in an entity treated as a partnership or other flow-through entity generally will depend on the status of the partner and the activities of such partnership. Partners and partnerships (including beneficial owners of pass-through entities and such entities themselves) should consult their tax advisers as to the particular U.S. federal income tax consequences applicable to them.

The ICAV

The ICAV will be treated as a corporation for U.S. federal income tax purposes. Thus, subject to the rules discussed below, the income, gains, losses, deductions and expenses of the ICAV will not be passed through to Shareholders, and all distributions by the ICAV to Shareholders will be treated as dividends, return of capital and/or capital gains.

Given the nature of the ICAV's investment activities, the ICAV expects that it will not be engaged in a U.S. trade or business as determined for U.S. federal income tax purposes. Nevertheless, no assurances can be given in this regard. If, contrary to expectations, the ICAV were treated as being engaged in a U.S. trade or business, then any of its income that is effectively connected with such U.S. trade or business generally would be subject to regular U.S. federal income taxation (and may also be subject to a 30% U.S. branch profits tax), thereby materially adversely affecting the ICAV's net asset value and ability to make distributions to Shareholders.

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Certain dividends, interest and other income received by the ICAV from sources outside of the U.S. may be subject to withholding taxes imposed by other countries. Certain types of periodic income received by the ICAV from sources inside the U.S. may be subject to U.S. withholding tax at a rate of 30%.

Non-U.S. Investors

An investor who is not a U.S. person (as defined above for U.S. federal income tax purposes), generally will not be subject to U.S. federal income taxation on a Fund distribution or on gains recognized on the sale, exchange or redemption of Shares where such Non-U.S. Investor's nexus with the U.S. is solely as a result of an investment in Shares.

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**DECLARATION OF RESIDENCE OUTSIDE IRELAND
(Non-Resident Composite Declaration)**

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

Declaration on own behalf/on behalf of a Company

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

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

*Delete as appropriate

Declaration as Intermediary

I/We* declare that I am/we are* applying for Shares on behalf of persons:

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

I/We* also declare that:

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

*Delete as appropriate

IMPORTANT NOTES REGARDING THIS DECLARATION

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Account Opening Form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the Account Opening Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be attached.
4. If you cannot make this declaration please contact the Administrator. Those Irish residents who are entitled to payment without deduction of tax, for example pension funds should request the appropriate alternative form of declaration from the Administrator.

Name and address of applicant: _____

Signature of applicant or authorised signatory: _____ (declarant)

Capacity of authorised signatory (if applicable): _____

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Date: ___/___/___

Joint Applicants:

Names: _____

Signatures: _____

Please note:

1. This Application Form must be signed by each applicant and sent to Apsley Fund ICAV, c/o Northern Trust International Fund Administration Services (Ireland) Limited, Transfer Agency Dept., George's Court, 54-62 Townsend Street, Dublin 2, Ireland.
2. A firm (such as a partnership and not a limited company) should make applications in the name(s) of and signed by the proprietor(s).
3. A corporation should complete this form under seal or under the hand of a duly authorised official who should state his capacity and furnish a certified copy of the authority pursuant to which such official is authorised.
4. If people other than the authorised signatories are authorised to instruct dealing activity on the account then a list of the relevant personnel together with their signatures should be attached to the form and forwarded to the Administrator.

Appendix 1

Entity Self-Certification for FATCA and CRS

Instructions for completion and Data Protection notice.

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

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

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

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

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

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

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

(Mandatory fields are marked with an *)

***Section 1: Account Holder Identification**

*Account holder Name: _____ (the "Entity")

*Country of Incorporation or Organisation: _____

*Current (Resident or Registered) Address:

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

***Section 2: FATCA Declaration:**

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

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

U.S. TIN: _____

Or

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

Or

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

Indicate exemption: _____

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

3.1 Financial Institutions under FATCA:

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

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

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

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

I.	The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a GIIN Please provide the sponsor's name and sponsor's <i>GIIN</i> : Sponsor's Name: Sponsor's GIIN: ■■■■■■ ■■■■■■.■■■■■ "NOTE: this option is only available to Sponsored Investment Entities in Model 11GA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.	<input type="checkbox"/>
II.	The Entity is an Exempt Beneficial Owner, Please tick and confirm the category of Exempt Beneficial Owner; I. dGovernment Entity II. International Organisation III. dForeign Central Bank IV. dExempt Retirement Fund V. ^Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners	<input type="checkbox"/>

III.	The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement) Indicate exemption:	<input type="checkbox"/>
IV.	The Entity is a Non-Participating Foreign Financial Institution	<input type="checkbox"/>
V.	The Entity is an Excepted Foreign Financial Institution Indicate exemption:	<input type="checkbox"/>
VI.	The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN Trustee's Name: Trustee's GIIN:	<input type="checkbox"/>

3.4. Non-Financial Institutions ("NFFE") under FATCA:

If the Entity is **not a Financial Institution**, please confirm the Entity's FATCA classification below by ticking one of the below categories;

I.	Active (NFFE)	<input type="checkbox"/>
II.	Passive (NFFE) (Please tick the box that applies) I. Passive (NFFE) with no Controlling Persons that are specified U.S Persons. II. Passive (NFFE) with Controlling Persons that are specified U.S Persons. (If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2.	<input type="checkbox"/> <input type="checkbox"/>
III.	Excepted (NFFE)	<input type="checkbox"/>
IV.	Direct Reporting (NFFE) Please provide your GIIN □□□□□□.□□□□□□.□□.□□□□	<input type="checkbox"/>

*Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency (Note that Entities may have more than one country of Tax Residence)

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN's. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers> Md .en.347759

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

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

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

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

If a TIN is unavailable, please tick the appropriate box as follows;

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

***Section 5: Entity's CRS Classification**

(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above).

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

For more information please see the OECD CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

5.1 Financial Institutions under CRS:

If the Entity is a *Financial Institution*, **Resident in either a Participating or Non-Participating CRS**

Jurisdiction please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/oartioatina-jurisdictions.odf>

i.	A Reporting Financial Institution resident in a participating CRS jurisdiction	<input type="checkbox"/>
ii.	<p>A Financial Institution Resident in a Non-Participating Jurisdiction (Please also tick the box that applies)</p> <p><input type="checkbox"/> An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in section 6 below and complete a separate individual self-certification forms for each of your Controlling Persons)</p> <p><input type="checkbox"/> An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</p> <p><input type="checkbox"/> Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>	<input type="checkbox"/>
iii.	<p>Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below:</p> <p><input type="checkbox"/> Governmental Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law:</p>	<input type="checkbox"/>

5.2 Non Financial Institution ("NFE") under CRS:

If the Entity is a *not defined as a Financial Institution under CRS* then please tick one of the below categories

confirming if you are an Active NFE or Passive NFE.

I.	Active NFE - a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the established securities market on which the corporation is regularly traded:	<input type="checkbox"/>
II.	Active NFE - if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: Please provide details of the securities market on which the Entity is regularly traded:	<input type="checkbox"/>
III.	Active NFE -a Government Entity or Central Bank	<input type="checkbox"/>
IV.	Active NFE -an International Organisation	<input type="checkbox"/>
V.	Active NFE -other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
VI.	Passive NFE -If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate "Individual (including Controlling Person's Self-Certification for FATCA and CRS form" as indicated in section 6.2 for each Controlling Person(s)	<input type="checkbox"/>

Section 6: Controlling Persons

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

If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form for each Controlling person as per 6.2 below:

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

I.

II.

III.

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

6.2 Complete a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form for each Controlling Person listed in Section 6.1.

***Section 7: Declarations and Undertakings**

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

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

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

^Authorised Signature(s):

***Print Name(s):**

^Capacity in which declaration is made:

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

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

Instructions for completion and Data Protection Notice Instructions for completion and Data Protection Notice

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

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aeoi/index.html> <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

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

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

(Mandatory fields are marked with an *)

*Section 1: Account Holder/Controlling Person Identification

*Account Holder / Controlling Person Name: _____

*Current Residential Address:

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

*Place and Date Of Birth

*Town or City of Birth: _____ *Country of Birth: _____

*Date of Birth: _____

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

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

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

OR

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

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

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

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

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

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

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

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

If a TIN is unavailable, please tick the appropriate box as follows;

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

Section 4 - Type of Controlling Person

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

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

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

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

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

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

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

Data Protection - Customer Information Notice :

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

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

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

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

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

And on the Irish Revenue website -<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

^Authorised Signature;

*Print Name;

*Date; (dd/mm/yyyy);

*Capacity (if Controlling Person);