

SUBSCRIPTION AGREEMENT

in respect of

ETERNA BLOCKCHAIN FUND II

(THE "SUB-FUND")

An open-ended limited liquidity sub-fund of

ALBEMARLE ALTERNATIVE FUNDS PLC

(THE "COMPANY")

(an open-ended umbrella investment company with segregated liability between sub-funds and variable capital incorporated in Ireland on 5 February 2008 under registration number 452912 and authorised by the Central Bank of Ireland as a designated investment company pursuant to Section 1395 of Part 24 of the Companies Act 2014)

*Unless defined elsewhere in this Subscription Agreement, all capitalised terms used shall have the meaning given to them in the prospectus of the Company and the supplement in respect of the Sub-Fund, as may be amended from time to time (collectively the "**Prospectus**").*

Please complete this form in **BLOCK CAPITALS**, and return to the Administrator at:

Northern Trust International Fund Administration Services (Ireland) Limited
2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon, Limerick, V94 X2N9, Ireland

Tel: + 353 1 542 2696

Fax: +353 1 542 2920

Email: peinvestors@ntrs.com

Please note that the fully signed Subscription Agreement must be returned to the Administrator's address to complete the account registration process. No distributions or transfer requests will be processed prior to receipt of the original Subscription Agreement and supporting documentation, including all relevant anti-money laundering documentation.

Shares will not be issued unless the Subscription Agreement, the subscription monies and all relevant anti-money laundering documentation are received no later than 5:00 pm (Irish time) on the relevant Subscription Day or in exceptional circumstances at a later time permitted in accordance with the terms of the Prospectus.

1. INSTRUCTIONS FOR COMPLETION OF THIS SUBSCRIPTION AGREEMENT

Applicants should complete **all** sections in full and ensure that the application is signed by the applicant(s) and/or appropriate authorised signatories on page 7.

Applicants are requested to complete Section 9 of this Subscription Agreement and should also note that they will be obliged to provide the Administrator with all documentation that it may require to verify the identity of such applicant in accordance with the Irish AML Regulations.

2. DETAILS OF APPLICANT(S)

First Applicant

(a) Please indicate whether you are an existing investor in the Sub-Fund ("**Existing Investor**").

Yes: No:

If you are an Existing Investor, please provide your account number:

(b) Complete your full name and address below

Please note that by completing this Subscription Agreement you are providing personal data to the Company for the purposes of applying for Shares in the Sub-Fund. This data will be used for the purposes of administration, analysis, research and disclosure to the Investment Manager, the Administrator, the Depositary and their respective delegates and agents. Your consent is required for the use of your personal data in the "Declarations and Signatures" section of this Subscription Agreement.

Information to be provided by individual applicants

Title:	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other
Surname:	_____
Forename(s) in full:	_____
Nationality:	_____
Address*:	_____
House number/name:	_____
Street:	_____
City/Town:	_____
Post Code:	_____
Country:	_____
Email Address:	_____
Tel No:	_____
Fax No:	_____

Additional contact details

Surname:	_____
Forename(s) in full:	_____
Building Name/Number	_____
Street:	_____
City/Town:	_____
Post Code:	_____
Country:	_____
Email Address:	_____
Tel No:	_____
Fax No:	_____
Contact Person Name:	_____
Contact Person Contact Details:	_____

Information to be provided by corporate (or other types of non-individual) applicants

Name:	_____
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Type of entity:	
Building Name/Number:	
Street:	
City/Town:	
Post Code:	
Country:	
Email Address:	
Tel No:	
Fax No:	
Contact Person Name:	
Contact Person Contact Details:	

* This address should be the address of the registered holder. In the case of individual applicants in their own name this address will appear on the register and should therefore be a residential address. The applicant will be required to provide proof of this address as required below. PO Boxes or 'care of' addresses should not be provided. If the address for correspondence is different, please also provide the correspondence address.

Joint applicant(s)

Details of up to 3 additional holders may be added to the application. Please complete details in block capitals below.

First additional applicant details	
Surname:	
Forename(s) in full:	
Nationality:	
Address**:	
City/Town:	
Post Code:	
Country:	

Second additional applicant details	
Surname:	
Forename(s) in full:	
Nationality:	
Address**:	
City/Town:	
Post Code:	
Country:	

Third additional applicant details	
Surname:	
Forename(s) in full:	
Nationality:	
Address**:	
City/Town:	
Post Code:	
Country:	

** Correspondence will be sent to the first named applicant of joint holders.

3. BANK DETAILS

Settlement of subscription monies by applicant/Shareholder

Settlement must be made in euro to the Company's bank account, details of which will be set out in Capital Calls issued by the Directors or the Investment Manager.

Subscription monies must be received no later than 5:00 pm (Irish time) on the relevant Subscription Day or in exceptional circumstances at a later time permitted in accordance with the terms of the Prospectus.

Any settlement by way of transfer in specie of assets must be made in accordance with the terms of the Prospectus.

Settlement of Distributions (and any compulsory redemptions) to Shareholders

The applicant's bank details for receipt of distributions to be remitted to Shareholders in accordance to the circumstances outlined in the Prospectus must be provided below.

Please note Distributions will not be reinvested in Shares.

I/We undertake to immediately inform the Administrator in writing of any changes to these details:

Name of Bank:	
Address of Bank:	
Country:	
Bank SWIFT/Sort Code:	
Name of Account Holder:	
Account Number:	
Applicant's Signature:	

Proceeds of any compulsory redemption effected in accordance with the Prospectus and the Memorandum and Articles of Association will be returned to the above account unless the Administrator is notified in writing of any change to these details. Proceeds of compulsory redemptions will not be processed on non-cleared/verified accounts.

Note: No third party payments will be undertaken. A request to change bank account details must be made in writing to the Administrator and must be accompanied by a bank statement or banker's reference.

4. CAPITAL COMMITMENT AND INITIAL SUBSCRIPTION FOR SHARES

4.1 I/We hereby apply to subscribe an aggregate amount up to the Capital Commitment specified below for Shares in the Sub-Fund of the Class specified below:

Class	Capital Commitment amount	Payment* Currency
Class A Shares	<p>€ _____</p> <p>Words: _____ euro.</p>	euro

Note: Minimum Capital Commitment requirements apply as set out in the Prospectus.

4.2 I/We hereby apply to subscribe, from our Capital Commitment specified above, the aggregate amount specified below for Shares in the Sub-Fund to be issued to me/us on the Closing Date:

Class	Initial Subscription amount	Payment* Currency
IDP Financial Solutions Shares	<p>€ _____</p> <p>Words: _____ euro.</p>	euro

*** Subscription monies for the Shares of the Sub-Fund should be remitted in euro.**

4.3 The Directors may issue Shares by way of exchange for Investments in accordance with the procedure outlined under the heading 'Subscriptions in Specie' in the Prospectus.

5. CAPITAL COMMITMENTS AND CAPITAL CALLS

5.1 I/We (in the case of a subscription for the account of a fund or other entity, "I" or "we" shall refer to the depositary, custodian, fiduciary, nominee or representative making the investment decision and executing this Subscription Agreement, or a fund or other entity, or both, as appropriate) hereby irrevocably undertake and agree to subscribe and pay for such number of Shares in the Sub-Fund as may be offered to me/us in accordance with the terms of the Prospectus from time to time with an aggregate issue price not to exceed the total amount of my/our Capital Commitment set out above.

- 5.2 By making my/our Capital Commitment, I/we agree to be bound by the terms and conditions of, and to pay such amounts which may be required to be paid by me/us pursuant to Capital Calls made in accordance with, this Subscription Agreement, the Prospectus and the Memorandum and Articles of Association. Against payment by me/us to the Company for the account of the Sub-Fund of such amounts, the Sub-Fund shall cause my/our name and the number of Shares subscribed for and purchased by me/us on such date to be entered in the register of members of the Company.
- 5.3 I/We understand and agree that the Company or its delegates (including the Investment Manager) may issue a Capital Call during and (in certain circumstances prescribed in the Prospectus) following the Commitment Period requiring Shareholders to subscribe for further Shares in such amounts and tranches up to the total amount of my/our Capital Commitment as the Directors or the Investment Manager may determine in accordance in accordance with the terms of the Prospectus.
- 5.4 I/we acknowledge and agree that I/we will be required to make payment in respect of Capital Calls issued to me/us by the due date set out therein (the "**Due Date**"). I/we acknowledge that the Due Date shall be a date five (5) Business Days (or such shorter period as may be agreed by each Shareholder) prior to the Closing Date (or in exceptional circumstances, such later time as any one Director may from time to time permit for all Shareholders) by which date I/we must subscribe the amount specified in the Capital Call by electronic transfer to the bank account specified in this Subscription Agreement.
- 5.5 I/we acknowledge and agree that if I/we fail to meet a Capital Call on the Due Date for payment thereof, I/we will be alerted by the Company or its delegate (including the Investment Manager) of my/our failure to make payment in respect of the Capital Call and if satisfactory payment has not been received within ten (10) Business Days from such alert, the Company or its delegate shall serve notice of default on me/us, and I/we may be deemed a Defaulting Shareholder. In such circumstances, the amount which I/we as a Defaulting Shareholder have failed to pay may, at the discretion of Directors, carry interest from the date of default in payment until the actual date of payment at a rate of 10% per annum compounded annually.
- 5.6 I/we acknowledge and agree that if outstanding monies are not paid within ten (10) Business Days after notice of such default is duly served on me/us by the Company or its delegate, my/our Shares may be compulsorily redeemed in accordance with the Memorandum and Articles of Association.
- 5.7 I/we acknowledge and agree that proceeds of such compulsory redemption shall be distributed back to me/us as a Defaulting Shareholder after deduction of any amounts outstanding from me/us as Defaulting Shareholder, together with such expenses and interest incurred by the Sub-Fund and a penalty of up to 10% of such proceeds which shall be for the benefit of the Sub-Fund. Any such distributions of compulsory redemption proceeds to me/us as a Defaulting Shareholder shall be deferred to the extent that I/we as a Defaulting Shareholder shall not receive any amounts under any given distribution in excess of those which I/we would have received had I/we not been in default. I/we acknowledge and agree that any penalty as referred to above shall be independently verified by the Auditors.
- 5.8 I/we acknowledge and agree that the Sub-Fund shall have the right to pursue me/us as a Defaulting Shareholder for damages in the event that the Sub-Fund is obliged to borrow or to incur indebtedness in any other manner whatsoever to fund my/our Unfunded Subscription.
- 5.9 I/we acknowledge and agree that, notwithstanding the Defaulting Shareholder provisions above, if the failure by me/us as a Shareholder to pay in full any amount or instalment due on any Shares originally issued to me/us within ten (10) Business Days of being served notice of default mentioned above results from a change in law (or regulation having the force of law) which: (i) occurs after the date on which it agreed to subscribe for such Shares; (ii) is applicable to the Fund or to it; and (iii) renders it unlawful for it to pay such amount or instalment and it provides to the Company not later than the expiry of such ten (10) Business Day period (or such longer period as may be agreed by the Directors) a legal opinion to such effect, in a form and from legal advisers both reasonably satisfactory to the Company, then the provisions of

the above, subject to the agreement of the Directors, shall not apply to such failure, and the Shareholder shall be excused of payment of such amount or instalment or (as the case may be) such part of such amount or instalment as it would be unlawful for it to pay. I acknowledge and agree that the Directors are entitled to withhold distributions according to such excused investors as they deem reasonably necessary to cover any Unfunded Subscription of me/us as such an excused Shareholder.

- 5.10 I/we accept that the Sub-Fund may make payments to me/us including payments of Available Net Proceeds in accordance with the provisions set out in the Prospectus.
- 5.11 I/we acknowledge and agree that distributions of Available Net Proceeds will be paid by telegraphic transfer to my/our bank account specified above within sixty (60) Business Days of the Declaration Date, subject to foreign exchange regulations applicable in the country where the payment has been requested to be made or other delays, provided completed documentation including documentation in connection with anti-money laundering procedures are in place in respect of my/our original subscription. The amount of any distributions of Available Net Proceeds will be determined at the discretion of the Directors.
- 5.12 I/We agree that the Administrator shall act as agent of the Sub-Fund.

Yours faithfully

Applicant/Authorised Signatory of Applicant (as applicable)

Capacity of Authorised Signatory (if applicable)

Date: _____

By the execution of this Subscription Agreement, we hereby accept your Capital Commitment and agreement to subscribe for and purchase Shares in the Sub-Fund on the terms and conditions set forth in this Subscription Agreement and in the Prospectus and the Memorandum and Articles of Association.

Authorised Signatory
For and on behalf of Albemarle Alternative Funds plc

6. DECLARATIONS AND SIGNATURES

By signing this Subscription Agreement:

- 6.1 I/We hereby acknowledge that I/we have received and considered and understood a Prospectus and the Memorandum and Articles of Association and this application is made on the terms thereof as may be amended from time to time.
- 6.2 I/We confirm that I am/we are 18 years of age or over and I/we have the authority to make the investment pursuant to this Subscription Agreement whether this investment is my/our own name or is made on behalf of another person or institution.
- 6.3 I/We have the full power and authority to execute, deliver and perform this Subscription Agreement and to subscribe for and purchase Shares hereunder. The making of my/our Capital Commitment, my/our subscription for and purchase of Shares, and my/our execution, delivery and performance of this Subscription Agreement have been authorised by all necessary corporate or other action on my/our behalf, and this Subscription Agreement is my/our legal, valid and binding obligation, enforceable against me/us in accordance with the terms hereof.
- 6.4 The execution and delivery of this Subscription Agreement, the consummation of the transactions contemplated hereby, and the performance of my/our obligations hereunder does not and will not conflict with, or result in any violation of or default under, any provision of any charter, by-laws, agreement, or governing instrument applicable to me/us, or any agreement or other instrument to which I am/we are a party or by which I/we or any of my/our properties are bound, or any permit, franchise, judgment, decree, statute, order, rule, regulation or law applicable to me/us or my/our business or properties.
- 6.5 I/We have made arrangements for payment to be made to the relevant bank account(s) specified by the Administrator from time to time for subscriptions and acknowledge that the Company reserves the right to reject any application in whole or part without assigning any reason therefor.
- 6.6 I/We agree to provide to the Company or the Administrator with any and all documentation that it or they require to verify my/our identity in accordance with current anti-money laundering legislation. I/We agree to provide additional documentation upon request to the Company or the Administrator to enable the Company to comply with the requirement to keep customer due diligence documentation up to date. I/We acknowledge that any delay by me/us in providing such documentation may result in delayed processing of my/our application and/or delayed payment of any future redemption payments to me/us or processing of share transfer requests on my/our behalf. I/We hereby hold the Company and the Administrator harmless and indemnify them against any loss arising directly as a result of a failure to process the application if such information has been required and has not been provided by me/us. I/We also warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- 6.7 I/We declare that I/we am/are not a US Person and certify that the Shares applied for are not being acquired for the benefit of any US Person nor in violation of any applicable law or regulation, and I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares to a US Person or any person in violation of any applicable law or regulation.
- 6.8 The Company and the Administrator are hereby authorised to accept and execute any instructions in respect of the Shares to which this Subscription Agreement relates or which may in future be acquired by me/us which are given by me/us in written form or by facsimile (or by such other means as may from time to time be permitted by the Company or its delegate including electronic means) and in the case of joint account holders which are given by such means by the first named Applicant ("**Instructions**"). I/We hereby agree to indemnify each of the Company and the Administrator and agree to keep each of them

indemnified against any direct loss of any nature whatsoever arising to any of them as a result of any of them acting upon Instructions. The Company and the Administrator may each rely conclusively upon and shall incur no liability in respect of any action taken upon any Instructions believed in good faith to be genuine and have been signed or given by properly authorised persons.

- 6.9 I/We hereby agree to notify the Company immediately if any of the representations herein made are no longer accurate and complete in all respects.
- 6.10 I/We hereby agree to indemnify and hold harmless each of the Company, the Investment Manager, the Depositary and the Administrator and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may directly result from my/our declaration that I am a Qualifying Investor being untrue or becoming untrue at any time in the future.
- 6.11 I/We agree to provide to the Company, the Investment Manager, the Depositary and/or the Administrator at such times as each or any of them may request such declarations, certificates or documents as each of them may reasonably require in connection with this investment. Should any information furnished to any of them become inaccurate or incomplete in any way, I/We hereby agree to notify the Company, the Investment Manager, the Depositary and/or the Administrator immediately of any such change.
- 6.12 I/We acknowledge that due to anti-money laundering and counter terrorist financing requirements operating within Ireland, the Administrator or the Company (as the case may be) may require further identification of the subscriber(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Company, and the Company shall be held harmless and indemnified against any loss directly arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Company has not been provided by me/us or has been provided in incomplete form. I/we agree to provide additional documentation upon reasonable request to the Company or the Administrator to enable the Company to comply with the requirement to keep customer due diligence documentation up to date.
- 6.13 I/We declare that I am/we are not a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person¹.
- 6.14 I/We further agree to provide the Company or the Administrator with any additional documentation that it or they may reasonably require from time to time in accordance with current anti-money laundering and counter terrorist financing legislation including where I/We meet the definition of a politically exposed person or are an immediate family member or close associate of such a politically exposed person either at the start of the business relationship or if I/we obtain politically exposed status throughout the course of the business relationship. I/we

¹ A politically exposed person is defined as an individual who is, or has been in the preceding 12 months, a person with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

(a) a specified official;

(b) a member of the administrative, management or supervisory body of a state-owned enterprise;

A "specified official" is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body);

(a) a head of state, head of government, government minister or deputy or assistant government minister;

(b) a member of a parliament;

(c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;

(d) a member of a court of auditors or of the board of a central bank;

(e) an ambassador, charge d'affairs or high ranking officer in the armed forces.

An "immediate family member" includes any spouse, child, parent, brother or sister of a PEP, any person considered to be equivalent to a spouse under the national or other law of the place where the person or PEP resides or any spouse of a child of the PEP.

hereby acknowledge that the Company or the Administrator will apply appropriate due diligence if I/we are deemed to be politically exposed.

- 6.15 I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Shares by me/us in the Company.
- 6.16 (In respect of joint Applicants only) We direct that on the death of one of us the Shares for which we hereby apply to be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last survivor.
- 6.17 I/We hereby acknowledge that any notice or document may be served by the Company on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Company or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Company or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Company in writing at the above address provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.
- 6.18 I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Subscription Agreement.
- 6.19 I/we am/are capable of evaluating the merits and risks of an investment by me/us in the Shares.
- 6.20 I/We have been provided an opportunity to ask questions of the Company regarding the terms and conditions of the offering of Shares in the Sub-Fund and the transactions contemplated hereby, and, in that respect: (a) I/we have received answers that are satisfactory to me/us from the Company and its representatives on all matters raised by me/us, and (b) I/we have obtained all additional information requested by me of the Company and its representatives as I/we deemed necessary to verify the accuracy of all information related thereto furnished to me/us.
- 6.21 I/We hereby agree that this Subscription Agreement shall be governed by and construed in accordance with the laws of Ireland and the courts of Ireland shall have exclusive jurisdiction to hear and determine any proceedings and to settle any dispute which may arise out of or in connection with this Subscription Agreement. I/We accordingly submit irrevocably to the jurisdiction of the courts of Ireland. I/We irrevocably waive any objection which I/we may have now or in the future to the courts of Ireland being nominated as the forum to hear and determine any proceedings or settle any dispute and agree not to claim that the courts of Ireland are not a convenient or appropriate forum.
- 6.22 I/We:
- (a) confirm that I/we as the Applicant had initiated the discussions, correspondence or other communications with the Company and/or the Investment Manager, which resulted in it making a decision to subscribe to the Fund and that, at no time, did the Investment Manager, the Company or their affiliates, representatives or agents offer shares in the Fund or solicit, recommend, advise or request that it subscribe to the Fund; and
 - (b) confirm that any information provided by the Investment Manager, the Company or their affiliates, representatives or agents in respect of the Fund was specifically requested by the Applicant (or the person making the decision to subscribe to the Fund) at its initiation and the Applicant has provided a written confirmation to this effect prior to the provision of such information on each occasion; and

- (c) acknowledges that the Fund is not registered for sale pursuant to the Alternative Investment Fund Managers Directive (Directive 2011/61/EU) or otherwise pursuant to local law.

7. DATA PRIVACY NOTICE

In accordance with the General Data Protection Regulation (2016/697/EU) (the "**GDPR**") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018) (collectively, "**Data Protection Legislation**"), the Company being the data controller for the purposes of this application to subscribe for Shares in the Company, must provide you with information on how the personal data that you provide as part of your application to subscribe for Shares will be processed.

Terms used but not defined in this Data Privacy Notice shall have the meanings ascribed to them in the Data Protection Legislation.

Where your details are provided to the Company as a consequence of your investment in the Company, then the Company, acting as a data controller may itself (or through a third party such as the Administrator, the Investment Manager) 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 a data controller. In connection with this, please note the following:

1. Contact details

The Company, as data controller, has appointed the Administrator as a data processor in its capacity as transfer agent to the Company. The Company can be contacted via the Administrator at the following address:

Albemarle Alternative Funds plc in respect of Eterna Blockchain Fund II (the "Sub-Fund")

Administrator

Northern Trust International Fund Administration Services (Ireland) Limited
2nd Floor, Block A, City East Plaza,
Towlerton,
Ballysimon,
Limerick,
V94 X2N9,
Ireland
Telefax: 353-1-434 5286
Telephone: 353-1-434 5007
Email Enquiries: albemarle_ta_queries@ntrs.com

2. Purposes of processing and legal basis for processing

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares may be processed by the Company, the Investment Manager or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

Performance of the contract

- (a) to facilitate the opening of your account with the Company, the management and administration of your holdings in the Company and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract with the Company, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;

- (b) to update and maintain records and fee calculation;
- (c) circulating periodic reports relating to the Company.

Compliance with a legal obligation

- (a) in order to carry out anti-money laundering checks and related actions which the Company considers appropriate to meet any legal obligations imposed on the Company relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) to report tax related information to tax authorities in order to comply with a legal obligation.

Pursuing the legitimate interests of the Company including:

- (a) in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) carrying out statistical analysis and market research;
- (c) recording, maintaining, storing and using recordings of telephone calls that you make to and receive from the Company, the Administrator, the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Company and its affiliates' rights itself or in order to comply with any legal obligation imposed on the Company, (v) to pursue the Company's legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- (d) to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery;
- (e) to disclose information to other third parties such as service providers of the Company, auditors, regulatory authorities and technology providers;
- (f) to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator and the Investment Manager including in relation to other funds or clients of the Administrator and the Investment Manager in pursuance of the Administrator's, the Investment Manager's and its clients' legitimate interests.
- (g) for direct marketing purposes (that is, us providing you with information on products and services) i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you.

Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company will no longer process the personal data unless the Company can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.

Consent

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes of direct marketing, the Company seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

3. Consent to Direct Marketing

From time to time, one or more of the Company and/or its delegates (which may include, without limitation, the Administrator, the Investment Manager and the Depositary may send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication. You have a right not to receive such information.

If you consent to receive such information and/or marketing material, **please tick here**

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Company c/o the Administrator at the address above. You also have a right object to the processing of your personal data for direct marketing purposes.

4. Profiling and Screening

The Company and its appointed data processors engage in OFAC and politically exposed person screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

5. Disclosures to Data Processors and / or Third Parties

The Company may disclose your personal information as follows:

- (a) to third parties identified in the Prospectus and to entities that are companies within the same group of companies as such third parties in order to process the data for the above mentioned purposes. These third parties will handle your information in accordance with applicable Data Protection Legislation;
- (b) to other third parties such as the auditors to the Company or agents of the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
- (c) to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

6. Transfers Abroad

The disclosure of personal information to the third parties set out above may involve the transfer of data to India and other jurisdictions outside the European Economic Area ("EEA") in accordance with the requirements of the GDPR. Such countries may not have the same data protection laws as your jurisdiction. The Company has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Company.

7. Retention period

The Company, the Investment Manager and the Administrator will retain your personal information for as long as required for the Company, the Investment Manager or the

Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Company retains your personal information.

8. Your data protection rights

Please note that you have the following rights under the GDPR in relation to your personal information. In each case, the exercise of these rights is subject to the provisions of the GDPR:

- (a) You have a right to be informed of your rights under Data Protection Law and how your personal data is used.
- (b) You have a right of access to and the right to amend and rectify your personal data.
- (c) You have the right to have any incomplete personal data completed.
- (d) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Company infringes the GDPR.
- (e) You have a right to request that your personal information is erased (in certain specific circumstances).
- (f) You have a right to restrict processing (in certain specific circumstances).
- (g) You have a right to data portability (in certain specific circumstances).
- (h) You also have the right to object to processing where personal data is being processed for marketing purposes and also where the Company is processing personal data for legitimate interests.

9. Failure to provide personal data

The provision by you of personal data, as outlined in the section above titled "Purposes of processing and legal basis for processing" is required for us to accept your subscription application and manage and administer your holdings in the Company and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided within the specified timeframe we may be required to discontinue our business relationship with you.

10. Security of personal data

The Company takes all reasonable steps to ensure that your personal data is stored and processed securely and also takes appropriate security measures against unauthorised access to, or alteration, disclosure or destruction of your personal data and against its accidental loss or destruction.

8. QUALIFYING INVESTOR DECLARATION

I/We certify that I am/we are an investor who is:

- a) a professional client within the meaning of Annex II of Directive 2014/65/EC (Markets in Financial Instruments Directive); or

- b) an investor who receives an appraisal from an EU credit institution, a MiFID firm or a UCITS management company that the investor has the appropriate expertise, experience and knowledge to adequately understand the investment in the Company; or
- c) an investor who certifies that they are an informed investor by providing the following:
 - (i) confirmation (in writing) that the investor has such knowledge of and experience in financial and business matters as would enable the investor to properly evaluate the merits and risks of the prospective investment; or
 - (ii) confirmation (in writing) that the investor's business involves, whether for its own account or the account of others, the management, acquisition or disposal of property of the same kind as the property of the Company; and
 - (iii) Within the EU, Qualifying Investor AIFs may only be marketed to professional investors unless the Member State in question permits, under the laws of that Member State, AIFs to be sold to other categories of investors and this permission encompasses investors set out in categories (b) and (c) above; and
 - (iv) who certifies in writing to the Company that it meets the minimum criteria and that it is aware of the risk involved in the proposed investment and the fact that inherent in such investments is the potential to lose all of the sum invested; or
- d) any Knowledgeable Investor, provided that any such person or institution is not:
 - (i) any person, corporation, or entity which cannot acquire or hold Shares or to whom Shares cannot be issued, sold or transferred without violating applicable laws or regulations; or
 - (ii) a depositary, nominee or trustee for any person, corporation or entity described in (i) above.

Whilst institutions may not group amounts of less than the equivalent of euro 100,000 or its equivalent in other currencies for individual investors, institutions which are themselves Qualifying Investors and which are investing monies pursuant to fully discretionary mandates may group amounts of less than the equivalent of euro 100,000 or its equivalent in other currencies, being managed for individual investors.

9. ANTI-MONEY LAUNDERING INFORMATION

In order to comply with applicable AML/CDD requirements, the applicant is required to provide the information and documentation specified in Appendix I - Anti-Money Laundering Documentation Requirements based on his/her/its investor type.

10. TRANSFERS

Subject to and in accordance with the Prospectus, I/we hereby acknowledge and agree that we may not transfer any Shares unless the transferee is a Qualifying Investor.

I/we hereby acknowledge and agree that all transfers of Shares shall be effected by transfer in writing signed by both the transferor and transferee in any usual or common form in use in Ireland or in any other form approved by the Directors.

I/we hereby acknowledge and agree that the Directors may decline to register any transfer of Shares where such transfer may in the sole and conclusive opinion of the Directors:

- (a) in the absence of satisfactory evidence that the proposed transferee is not and will not be holding units on behalf of, directly or indirectly, a disqualified person or if transfer is in breach of US securities laws;

- (b) if the transfer would be unlawful or result or be likely to result in any adverse legal, regulatory, pecuniary, tax or fiscal consequences or material administrative disadvantage to the Company or the Shareholders as reasonably determined by the Directors;
- (c) in the absence of satisfactory evidence of the transferee's identity;
- (d) the proposed transfer would result in a contravention of any provision of the Constitution or would produce a result inconsistent with any provision of the Prospectus;
- (e) where the Company is required to redeem, appropriate or cancel such number of Shares as are required to meet the appropriate tax of the Shareholder on such transfer;
- (f) if the proposed transferee has not certified in writing to the Company or its delegate that it is a Qualifying Investor and that it is aware of the risk involved in investment in the Company and of the fact that inherent in the investment is the potential to lose all of the sum invested;
- (g) if the transferee, if not an existing Shareholder, has not completed an application form as specified in the Prospectus to the reasonable satisfaction of the Directors;
- (h) if the person to whom shares are to be transferred is prohibited from holding shares in the Company for any reason; or
- (i) where the Directors believe, in their discretion, that it is in the best interests of the Company or the Shareholders to do so.

Further, I/we hereby acknowledge in the event that a transfer by any me/us results in my/our Shareholding falling below an aggregate Net Asset Value of the minimum Capital Commitment, the Directors may either decline to register the relevant transfer or may register the relevant transfer and compulsorily redeem all of my/our remaining Shares.

I/we hereby acknowledge that if the transferee is not already a Shareholder, he/she will be required to complete the relevant Subscription Agreement and provide the relevant Anti-Money Laundering//Know Your Customer ("**AML/KYC**") documentation as specified in Appendix I – Anti-Money Laundering Documentation Requirements of this subscription agreement. If the Directors refuse to register a transfer of Shares they shall within one month after the date on which the transfer was lodged send to the transferee notice of the refusal, provided that the Directors are not required to give notice to any person of a refusal to register a transfer where registering the transfer or giving the notice would result in a contravention of any provision of law.

11. DECLARATION OF RESIDENCE OUTSIDE IRELAND

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

Declaration on own behalf
I/We* declare that I am/we are* applying for the Shares on my own/our own behalf /on behalf of a company* and that I am/we are/the company* is entitled to the Shares in respect of which this declaration is made and that
<ul style="list-style-type: none">• I am/We are/the company is* not currently resident or ordinarily resident in Ireland, and• Should I/we/the company* become resident Ireland, I will/we will* so inform you, in writing accordingly.
<i>*Delete as appropriate</i>

Declaration as Intermediary
I/We* declare that I am/we are* applying for Shares on behalf of persons:
<ul style="list-style-type: none">• 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:
<ul style="list-style-type: none">• 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* hold Shares, becomes resident in Ireland.
<i>*Delete as appropriate</i>

Name and address of Applicant: _____

Signature of Applicant or authorised signatory; _____(Declarant)

Capacity of authorised signatory (if applicable): _____

Date: ____/____/____

Joint Applicants:

Names: _____ Signatures: _____

Important Notes

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

12. RESIDENT ENTITIES COMPOSITE DECLARATION

DECLARATION REFERRED TO IN SECTION 739D(6) TAXES CONSOLIDATION ACT, 1997

This declaration, if it is then still correct, shall apply in respect of any subsequent acquisition of Shares.

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the Shares on behalf of the Applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is (please tick ✓ as appropriate)

a pension scheme;	<input type="checkbox"/>
a company carrying on life business within the meaning of section 706 TCA 1997;	<input type="checkbox"/>
an investment undertaking;	<input type="checkbox"/>
an investment limited partnership;	<input type="checkbox"/>
a special investment scheme;	<input type="checkbox"/>
a unit trust to which section 731 (5)(a) TCA 1997 applies;	<input type="checkbox"/>
a charity being a person referred to in section 739D(6)(f)(i) TCA1997;	<input type="checkbox"/>
a qualifying management company;	<input type="checkbox"/>
entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997* (see further requirement for Qualifying Fund Manager below);	<input type="checkbox"/>
a PRSA Administrator;	<input type="checkbox"/>
a credit union within the meaning of section 2 of the Credit Union Act 1997.	<input type="checkbox"/>

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

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

Additional requirements where the declaration is completed by a qualifying fund manager / PRSA Administrator

- I/We* also declare that at the time this declaration is made, the Shares in respect of which this declaration is made
 - are assets of * an approved retirement fund/an approved minimum retirement fund or a PRSA, and
 - are managed by the Declarant for the individual named below who is beneficially entitled to the Shares.

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

****Delete as appropriate***

Additional requirements where the declaration is completed by an Intermediary

- I/We* also declare that I am/we are* applying for Shares on behalf of persons who
 - To the best of my/our* knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made, and
 - Is a person referred to in section 739D(6) TCA, 1997.
- I/We* further declare that
 - Unless I/we* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us* from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA, 1997, and
 - I/We* will inform you in writing if I/we* become aware that any person ceases to be a person referred to in section 739D(6) TCA, 1997.

****Delete as appropriate***

Name of Applicant: _____

Irish tax reference number of Applicant: _____

Authorised signatory: _____ (Declarant)

Title: (Mr/Ms. etc) _____

Capacity in which declaration is made: _____

Date: ____ / ____ / ____

Important Notes

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

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

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

13. FATCA SELF-CERTIFICATION

Individual/Controlling Person for FATCA/CRS

Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the 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:	
Mailing Address (if different from above):	
Place and 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.

My U.S. federal taxpayer identifying number (U.S. TIN) is:

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 is unavailable Select (A, B or C) and check box below
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

If a TIN is unavailable, please check reasons below and tick the appropriate box above.

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 4: Type of Controlling Person

(ONLY to be completed by an individual who is a Controlling Person of an entity which is a Passive Non-Financial Entity (“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	Please Tick	Entity Name
Controlling Person of a legal person - control by ownership	<input type="checkbox"/>	
Controlling Person of a legal person - control by other means	<input type="checkbox"/>	
Controlling Person of a legal person - senior managing official	<input type="checkbox"/>	
Controlling Person of a trust – settlor	<input type="checkbox"/>	
Controlling Person of a trust - trustee	<input type="checkbox"/>	
Controlling Person of a trust - protector	<input type="checkbox"/>	
Controlling Person of a trust - beneficiary	<input type="checkbox"/>	
Controlling Person of a trust - other	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - settlor-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - trustee-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - protector- equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - beneficiary equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - other-equivalent	<input type="checkbox"/>	

***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):	

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.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN[∞] Please provide the sponsor's name and sponsor's GIIN: Sponsor's Name: _____ Sponsor's GIIN: □□□□□□.□□□□□□.□□.□□□□</p> <p>[∞]NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</p>	<input type="checkbox"/>
II.	<p>The Entity is an Exempt Beneficial Owner,</p> <p>Please tick and confirm the category of Exempt Beneficial Owner;</p> <p>I. <input type="checkbox"/> Government Entity II. <input type="checkbox"/> International Organisation III. <input type="checkbox"/> Foreign Central Bank IV. <input type="checkbox"/> Exempt Retirement Fund V. <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p>	<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 (Non-Foreign Financial Entity/NFFE) under FATCA:

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

I.	Active Non-Financial Foreign Entity	<input type="checkbox"/>
II.	Passive Non-Financial Foreign Entity (NFFE) (Please tick the box that applies) I. Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons. II. Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S Persons. (If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in section 6.1 below and separately complete	<input type="checkbox"/>
III.	Excepted Non-Financial Foreign Entity	<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 TINs.

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbersMd.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 in a non-reportable Jurisdiction (i.e. Ireland or the USA)

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

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

Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN (*Please explain why you are unable to obtain a TIN if you selected Reason B*)

Reason C - No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

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

5.1 Financial Institutions under CRS:

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

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

I.	A Reporting Financial Institution resident in a participating CRS jurisdiction	<input type="checkbox"/>
II.	A Financial Institution Resident in a Non-Participating Jurisdiction. <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)	<input type="checkbox"/>

	<p>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>	
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.</p> <p>Specify the type provided in the domestic law:</p> <p>_____</p>	<input type="checkbox"/>

5.2 Non Financial Institutions (“NFE”) under CRS:

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

I.	<p>Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market.</p> <p>Please provide the name if the established securities market on which the corporation is regularly traded:</p> <p>_____</p>	<input type="checkbox"/>
II.	<p>Active Non-Financial Entity – if you are a Related Entity of a regularly traded corporation.</p> <p>Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:</p> <p>_____</p> <p>Please provide details of the securities market that the entity is listed on :</p> <p>_____</p>	<input type="checkbox"/>
III.	<p>Active Non-Financial Entity – a Government Entity or Central Bank</p>	<input type="checkbox"/>
IV.	<p>Active Non-Financial Entity – an International Organisation</p>	<input type="checkbox"/>

V.	Active Non-Financial Entity – 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 Non-Financial Entity – If this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s)	<input type="checkbox"/>

Section 6: Controlling Persons

NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form.

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

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

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 (Controlling Person's) Self-Certification for FATCA and CRS for each Controlling Person listed in Section 6.1.

***Section 7: Declarations and Undertakings**

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

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

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

***Authorised Signature(s):**

***Print Name(s):**

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

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

14. RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013 (FOR IRISH RESIDENT INVESTORS ONLY)

Pursuant to the Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Return Regulations"), the Sub-Fund is required to collect certain information from certain Irish residents. All Applicants, whether individuals, bodies corporate or unincorporated bodies of persons, which are Irish resident or ordinarily resident should review the list of Exempt Irish Investors in the Prospectus.

If the Applicant is Irish resident or ordinarily resident and is not an Exempt Irish Investor, please provide the relevant Tax Identification Number (TIN) / PPS Number together with any one original or copy of the following additional documents:

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

In addition, printed documentation issued by the Irish Revenue Commissioners or the Department of Social Protection which includes the Applicant's name, address and tax reference number is also acceptable. In the case of joint account holders, the additional documentation is required for each Applicant.

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

15. IDENTITY VERIFICATION

In accordance with the Irish AML Regulations, please complete the area below applicable to you and provide the identity verification documentation initially requested.

IMPORTANT: Be aware that the Company reserves the right to request additional information and documentation, *including requiring that previously submitted documentation be certified as a true copy and re-submitted* to ensure the Company's compliance with the Irish AML Regulations and any associated regulations and authoritative guidance.

Be aware that this may extend to identifying the beneficial owner and verifying their identity until such time that the ultimate natural persons beneficially owning the investment are identified.

Please note that for certain types of investors (for example a politically exposed person ("PEP")² or a recognised regulated entity³) the Administrator will require and request further information.

E X C E P T I O N S

If you are one of the following (tick where appropriate), you do not need to complete the Supplemental Investor Identification Information section, subject to (i) the Company's agreement and (ii) its right to request additional information and documentation.

² an individual who is or was at any time in the preceding year entrusted with a prominent public function and their immediate family members or persons known to be close associates of such persons

³ a bank, provider of financial services or nominee company acting on its own account and if authorised and regulated in Australia, Austria, Belgium, Bulgaria, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States

(a) We are a regulated credit or financial institution in this EU Member State

EU Member State Country Name

(b) We are a regulated credit or financial institution in this country

Country Name

(c) We are a company listed on this stock exchange

Exchange Name

Company Name and Country

(d) We are a registered pension or superannuation fund in this EU Member State

EU Member State Country Name

You may independently verify this registration on our regulator's website named here or we attach a copy of our authorisation

Regulator Website

Supplemental Investor Identification Information

Tick, complete as appropriate and attach the documentation required. If there is insufficient space, attach the information to the application and indicate in the relevant box to see your attachments.

Please note that all copies of documents must be originally certified. Certification must include a statement to the effect that the original of the document was sighted. All certification must be signed, dated and include the name, address and where applicable the professional registration of the certifier.

Natural Persons

Please confirm whether you are a politically exposed person. A politically exposed person is defined as an individual who is or was, at any time in the preceding year, entrusted with prominent public functions, and their immediate family members, or persons known to be close associates of such persons:

Yes No

Required Identity Verification Documentation

Please provide:

- Originally certified true copy of photocopy of a photographic identity documents such as a passport or driver's license and
- Originally certified true copies of two non-photographic identity documents (such as a utility bill)
- Source of Wealth Declaration (see Template - Section 16)

Corporate Entities

Country of Registration

Registration Number

Principal Business Address (if different to application address)

Names of all Directors (attach a sheet if necessary)

Name of beneficial owners who own more than 25% of the share capital or voting rights or otherwise exercise control of the entity or indicate if none (attach a sheet if necessary)

Required Identity Verification Documentation

Please provide

- A certified copy of (i) certificate of incorporation (or equivalent), and (ii) the memorandum & articles of association (or equivalent) and, (iii) the two latest audited financial statements, and
- For each of two (2) directors of the company, please provide:
 - A certified photographic identity document such as passport or driver's license and
 - Certified two non-photographic identity documents (such as a utility bill)

Partnerships, Limited Liability Companies, Limited Liability Partnerships, and Equivalents

Country of Domicile

Principal Business Address if different to application address

Name and address of General Partner (or equivalent)

Name of all partners/members (attach a sheet if necessary)

Name of beneficial owners who own more than 25% of the entity or its voting rights or indicate if none (attach a sheet if necessary)

Required Identity Verification Documentation

Please provide

- A copy of the partnership agreement or equivalent, and
- The appropriate identity verification documentation*, depending on their legal nature, for:
 - The General Partner (or equivalent), or
 - Any two partners, or
 - Any one partner and one authorised signatory

** i.e. if they are a corporate entity, see Required Identity Verification Documentation within the Corporate Entities section above, or if they are a natural person, then the following is required:*

- *A photocopy of a photographic identity document such as passport or driver's license and*
- *Two non-photographic identity documents (such as a utility bill)*

Trusts, Pensions, Foundations, and Similar Entities

Nature and/or purpose of the trust, pension, charity, etc.

Principal Business Address if different to application address

Names of all trustees/ directors/ governors (attach a sheet if necessary)

Name of settler, sponsoring employer, or equivalent

Name of all beneficial owners who own more than 25% of capital or indicate if none (attach a sheet if necessary). If a charity, the names or classes of beneficiaries

Pensions Only — please confirm the following:

- | | | |
|---|------------------------------|-----------------------------|
| ▪ The scheme provides retirement benefits to employees | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| ▪ Contributions are made by an employer or by way of deduction from an employee's wages | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| ▪ The scheme's rules do not permit the assignment of a member's interest under the scheme | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Required Identity Verification Documentation

Please Provide

- A copy of the trust deed (or equivalent) or confirmation of the entity to an appropriate register, and
- The appropriate identity verification documentation*, depending on their legal nature, for:
 - Any two trustees / directors / governors / equivalent, or
 - Any one trustee / director / etc. and one authorised signatory

**i.e. if they are a corporate entity, see Required Identity Verification Documentation within the Corporate Entities section above, or if they are a natural person, then the following is required:*

- A photocopy of a photographic identity document such as passport or driver's license and
- Two non-photographic identity documents (such as a utility bill)

None of the Above

Please contact the Distributor or Administrator for requirements.

Notes: The Administrator in its absolute discretion reserves the right to request from the applicant such other or additional documentation when it deems it appropriate to do so to enable the Administrator determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering verification status on a risk sensitive basis and the applicant shall provide to the Administrator from time to time with such information as may reasonably be requested. Each person acquiring Shares in the Sub-Fund must satisfy the foregoing both at the time of subscription and at all times thereafter until such person cease to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.

All documentation to be provided as originally certified true copies and should be certified as follows:

Certification rules: Documents must be originally certified. Certification must include a statement to the effect that the original of the document was sighted. All certification must be signed, dated and include the name, address and where applicable the professional registration of the certifier. The following are considered suitable persons to certify documentation:

- Garda Síochána / Police Officer,
- Practising Chartered & Certified Public Accountants
- Notaries Public / Practising solicitors
- Embassy/Consular Staff
- Regulated financial or credit institutions
- Justice of the peace
- Commissioner for oaths
- Medical professional

16. SOURCE OF WEALTH DECLARATION

SOURCE OF WEALTH DECLARATION - Individual

All information provided in this document will remain strictly confidential

Document to be returned by post as original

Name and First Name:	
Country of Residence:	
Occupation:	<p>Please provide a precise description of activity: <i>(as example: employee of post office, manager of bank, restaurant owner, car salesman...)</i></p> <p>Profession: _____</p> <p><i>If retired or unemployed, please indicate former profession:</i></p> <p>Retired: _____</p> <p>Unemployed: _____</p>
I declare:	<p><input type="checkbox"/> I am the ultimate beneficial owner of the monies invested</p> <p><input type="checkbox"/> I am not the ultimate beneficial owner of the monies invested</p> <p><i>(a certified ID/Passport copy of this person is to be sent with this declaration)</i></p>
I further declare:	<p>The monies invested do not originate from criminal activity, of whatever nature, and in particular do not constitute the proceeds of money laundering.</p> <p>Any profits derived from my investment will not be used for terrorism financing.</p>
I declare that the monies invested do not come from a third party and is drawn from my own bank account. These funds originate from the following source:	<p><input type="checkbox"/> Salary savings <input type="checkbox"/> Inheritance*</p> <p><input type="checkbox"/> Real Estate Sale <i>(please specify*)</i>: _____</p> <p><input type="checkbox"/> Gift <i>(Please specify*)</i>: _____</p> <p><input type="checkbox"/> Other* <i>(please add a precise source)</i>: _____</p>

**Please be advised, that the Administrator in its capacity as Registrar and Transfer Agent may request additional information if necessary.*

Signature.....

Date

SOURCE OF WEALTH DECLARATION - Company

All information provided in this document will remain strictly confidential

Completed form to be returned by post as original

Name of Company Representative:	
Country of Residence of Representative:	
Company Name:	
Commercial Register No. of Company:	
Issuing Authority:	
Position of Company Representative:	_____ <i>As Company Representative please state your position.</i>
I, as Company Representative declare:	<input type="checkbox"/> The represented Company is the ultimate beneficial owner of the monies invested <input type="checkbox"/> The represented Company is not the ultimate beneficial owner of the monies invested, which is <i>(please specify*)</i> : _____
I, as Company Representative further declare:	The monies invested do not originate from criminal activity, of whatever nature, and in particular do not constitute the proceeds of money laundering. Any profits derived from my investment will not be used for terrorism financing.
I, as Company Representative declare that the monies invested are drawn from the Company's bank account and do not come from a third party. These funds originate from the following:	<input type="checkbox"/> Company's funds <input type="checkbox"/> Other <i>(Please specify*)</i> :

**Please be advised, that the Administrator in its capacity as Registrar and Transfer Agent may request additional information if necessary.*

Signature of Company Representative.....

Date

Appendix I

ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS

Outlined below is guidance on the documentation which the Fund/Company/ Manager & Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk. **AML documents must be provided in advance before an account can be opened.**

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

Examples of Photographic Identity Documentation

- Current passport.
- Current driving licence.
- Current national identity card.
- Identity document with photographic identity issued by a government department.

Examples of Proof of Address

- Bank statements/credit card statements.
- Utility bill.
- Household/motor insurance certificate and renewal notices.
- Correspondence from local authorities.
- Correspondence from the revenue commissioners or equivalent.
- Correspondence from any government body.
- Driving licence which confirms the address provided it has not also been used to satisfy the photographic identity requirement above.
- Payslip or salary advice dated within the previous 3 months.
- Confirmation of address from a lawyer or financial institution.

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

Certification of Documents – Required for High Risk countries

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

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

Suitable persons include:

- An authorised signatory of a Regulated Financial Institution or Credit Institution.
- An authorised signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or 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.

Note2: 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.

Note3: Where available, the statement of certification as a true copy of the sighted original should be accompanied by the professional stamp or seal of the certifier.

Note 4: When certifying documents as true copies, the certifier should not be a close family member of, or have any apparent or potential conflicts of interest with, the investor.

English Translations

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

Letter of Assurance

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

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

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

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

Deemed High Risk Countries

Afghanistan, Albania, Angola, Azerbaijan, Bahamas, Belarus, Belize, Benin, Bolivia, Bosnia and Herzegovina, Botswana, Burma (Myanmar), Burundi, Cabo Verde, Cambodia, Central African Republic, Chad, China, Colombia, Comoros, Congo (Republic of the), Costa Rica, Cyprus (Greek Cypriot administered), Cyprus (Turkish Cypriot administered), Dominican Republic, Ecuador, El Salvador, Equatorial Guinea, Egypt, Ethiopia, Ghana, Guatemala, Guinea, Guinea Bissau, Guyana, Haiti, Honduras, India, Iraq, Ivory Coast (Cote d'Ivoire), Jamaica, Jordan, Kyrgyzstan, Laos, Latvia, Lebanon, Liberia, Libya, Macau, Maldives, Mali, Mauritania, Mexico, Moldova, Monaco, Montenegro, Morocco, Mozambique, Nicaragua, Nigeria, Pakistan, Palestinian Territories, Panama, Peru, Russia, Saint Kitts and Nevis, Saudi Arabia, Senegal, Serbia, Sierra Leone, Somalia, South Sudan, Sudan, Sri Lanka, Swaziland, Tanzania, Tunisia, Trinidad and Tobago, Turkey, Uganda, United Arab Emirates, Uzbekistan, Vanuatu, Venezuela, Vietnam, Yemen and Zimbabwe.

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

Regulated Credit or Financial Institution

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

1. Proof of regulation.
2. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity must be identified (along with address, date of birth and nationality).

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

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

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

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 entitled to 25% or more of the investment.

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

7. Verification of identity of the company from:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the Certificate of Incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

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

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

Nominee Company

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

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

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

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

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

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

Note: Where the nominee company is not a subsidiary of a regulated parent company, verify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

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

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

8. Verification of identity of the company from:
 - Extract from the relevant company registry providing details of the nominee company; and/or
 - Copy of the Certificate of Incorporation or equivalent of the nominee company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the nominee company; and/or
 - Copy of the latest audited financial statements of the nominee company.

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

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

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

Listed Company

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

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

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

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

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

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

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

8. Verification of identity of the company from:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the Certificate of Incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

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 entitled to more than 10% of the investment.

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

Subsidiary of a Listed Company

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

1. Proof of listing for the listed parent company on a Regulated Market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions).
2. Evidence of ownership by the listed company.
3. Identify the beneficial owner(s) including the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).

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

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

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 entitled to 25% or more of the investment.

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

7. Verification of identity of the company from:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the Certificate of Incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

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

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

Government / Public Body

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

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

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

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered office address.
4. Name of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority and verify the identity of two officials or, where applicable, one official and one authorised signatory.
7. Appropriate background information on the government body or public authority.

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

8. Identify and verify the identity of at least two directors or, where applicable, one director and one authorised signatory.
9. 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.

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

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

1. Full name of the pension scheme.
2. Registered office address of the pension scheme
3. One of the following:

- Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.
Or
- Identity of the controllers (trustees/ directors/ governors /board members or equivalent) of the scheme; and
- Constitutional/Formation Document (e.g. Trust Deed); and
- Appropriate background information.

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

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

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

Collective Investment Scheme

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

1. Please provide proof of regulation/ listing.

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

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

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

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; or
9. 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:

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

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

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

6. Verification of identity of the company from:
 - Extract from the relevant company registry providing details of the Company; and/or
 - Copy of the Certificate of Incorporation or equivalent of the Company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the Company; and/or
 - Copy of the latest audited financial statements of the Company.

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

7. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

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

Limited Liability Company

Where the applicant is a Limited Liability Company (LLC), please provide the following:

1. Full name of the LLC.
2. Registered office address & principal business address of the LLC.

3. Identify all managing members
4. Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity must be identified.

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

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

6. Constitutional document for the LLC (e.g. Certificate of Formation).
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 beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

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

Partnership

Where the applicant is a Partnership, please provide the following:

1. Full name of the partnership.
2. Registered office address & principal business address of the partnership.
3. Identify all partners.
4. Verify the identity of all partners who own 25% or more (directly or indirectly) of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund.
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. reflecting the direct and/ or indirect ownership and control structure).

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 is also required:

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 beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the partnership.

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

Trust

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

1. Full name of trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.
5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor.
8. Identify and verify the protector.
9. Identify all beneficiaries or the class of beneficiary beneficially entitled to trust's assets or the beneficial interest (Note: Verification of the beneficiaries may be required by the administrator to the extent warranted by the risk).

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

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

10. Verify the identity of the beneficiaries beneficially entitled to trust's assets or beneficial interest.
11. Confirmation as to how the settlor was in a position to make the investment.
12. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

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

Foundation

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

1. Full name of the foundation.
2. Registered address of the foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents equivalent OR confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder, and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable. Identify any beneficiary beneficially entitled to 25% or more of the foundation's assets.
7. Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

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

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

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

8. Identify and verify the identity of the founder.
9. Confirmation of the funding of the foundation.
10. Identify and verify the identity of the beneficiaries who hold more than 10% of the beneficial interest.

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

Charity

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

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

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, the following is also required:

10. Certified copies of the audited financial statements.
11. Identify and verify the identity of at least two trustees /directors/governors/ board members or, where applicable, one trustee /director/governor/ board member/ company secretary and one authorised signatory of the charity.
12. Certified constitutional/ formation document of the charity.
13. Identify and verify the identity of the beneficiaries (where ascertainable) of the charity.
14. Identify and verify the settlor, where applicable.

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

Club or Society

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

1. Full name of the club/society.
2. Registered office address & principal business address of the club/society.
3. Confirmation of the legal status of the Club/Society.
4. Nature/Purpose including the nature of funding of the club/society.
5. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or confirmation of a relevant club/ society register.
6. List of officers of the club/society.

7. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.
8. Names or classes of persons who stand to benefit from the Club or Society.

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. Constitutional/ formation document of the club/society
11. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.
12. Confirmation of the funding of the club or society.

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

School, College or University

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

1. Full name of the School, College or University.
2. Registered office address & principal business address of the School, College or University.
3. Confirmation of a relevant School, College or University register or appropriate background information.
4. Names of main officials of the school.
5. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.
6. Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights.
7. Identify and verify the settlor, where applicable.

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

8. 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:

1. Full name of the Church.
2. Registered office address & principal business address of the church.
3. Confirmation of the nature/purpose of the Church with details of how the Church is funded.
4. Confirmation of a relevant church register or a copy of the revenue approval for the church;
5. Names of all trustees/directors (or equivalent) of the church.
6. Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. Names or classes of persons who stand to benefit from the objects of the church (where ascertainable).

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. Constitutional/formation document of the church.
12. Identify and verify the identity of either two trustees /directors/governors/ board members or one trustee/ director/governor/board member and one authorised signatory of the church.
13. Identify and verify the beneficiaries (where ascertainable)

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

Trade Union

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

1. Full name of the Trade Union.
2. Registered address of the trade union.
3. Establish whether the trade union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. 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, by-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, the following is also required:

7. Identify and verify the identity of at least two senior committee members of the trade union

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