

## **Application Form Plurima Funds (the “Fund”) Earth Gold**

Please complete this form in blue or black ink using BLOCK CAPITALS, and return it together with the applicable documentation required in connection with Anti-Money Laundering procedures detailed in Section 4 to the Administrator:

### **Plurima Funds**

**C/o RBC Investor & Treasury Services  
4th Floor, One George's Quay Plaza,  
George's Quay | Dublin 2 | Ireland**

**Telefax: 353 1 613 04 01  
Telephone: 353 1 440 65 55**

Or to the relevant Correspondent Bank

### **Instructions for completion of the Application Form**

Please note that the original fully signed Application Form must be returned to the Administrator (or to the Correspondent Bank for forwarding to the Administrator) appointed by the Manager at the above address if this is your first investment in Units of the Fund. No redemption or conversion or transfer requests will be processed prior to receipt of this original form and supporting documentation.

Please refer to the Application Form Notes when completing this Form. Initial 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 13.

Existing investors should complete Section 1, the first part of Section 2 and again sign on page 13.

Earth Gold is valued at the close of business on days that are business days in Ireland, the UK, Luxembourg and Germany (a “Valuation Day”). An application form received in Ireland by 12:00 Irish time will be valued on that Valuation Day; applications received after that time will be carried forward to the next Valuation Day.

## SECTION 1 - Investment Details

I/We the undersigned having received and read a copy of the Key Investor Information Document ("KIID") for the relevant Unit Class in which investment is being made hereby apply to subscribe for a number of Units as may be subscribed for an aggregate amount of GBP \_\_\_\_\_ and undertake to settle therefore in full by telegraphic transfer for:

Sub-Fund & Unit Class	ISIN	Fund Code	Ccy	Subscription fee	Cash Amount
Earth Gold Fund - A Retail	IE00B85GV275	CX3	GBP	up to 5%	
Earth Gold Fund - A Institutional	IE00B7YGDQ91	CX4	GBP		
Earth Gold Fund - A Retail	IE00BJSP0T88	CY1	EUR		
Earth Gold Fund - A Institutional	IE00BJSP0V01	CY2	EUR		

*The Manager may at its sole discretion waive the subscription fee or fees or differentiate between applicants as to the amount of such fee or fees within the permitted limits set out in the Prospectus.*

**ONLY CASH AMOUNTS ALLOWED  
UNIT AMOUNTS NOT ALLOWED**

## SECTION 2 - Details of Applicant(s)

<b>Existing Investor</b> If you are an existing investor in the Fund ("Existing Investor") please provide your account details below.	
Name of Account	
Fund Name	
Existing Account Number	

<b>First Applicant</b>	
<b>Individuals: Complete your full name and address below</b>	
Title	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other (please specify) <input type="text"/>
Surname	
Forename(s) in full	
Nationality	Date of birth

<b>Registered Address<sup>1</sup></b>	
Address	
City/Town	
Post Code	Country
Email Address	
Tel No	Fax No

<b>Correspondence Address<sup>2</sup></b> Please complete the section if correspondence is to be sent to a different address to that set out above	
Address	
City/Town	
Post Code	Country

<b>Declaration of U.S. Citizenship or U.S. Residence for Tax purposes</b> Please tick either (a) or (b) and complete as appropriate	
<p>(a) <input type="checkbox"/> I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number</p> <p>(U.S. TIN) is as follows: _____.</p> <p><b>OR</b></p> <p>(b) <input type="checkbox"/> I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.</p>	

### Declaration and Undertaking

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

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

Authorised Signature: \_\_\_\_\_

Date: (dd/mm/yyyy): \_\_\_\_\_

<b>Corporate Applicants: Complete your full name and address below</b>										
Title	Mr		Mrs		Miss		Ms		Other (please specify)	
Surname										
Forename(s) in full										
Nationality								Date of birth		
Company Name (required ONLY for corporate applicants)										
Nature of Business (required ONLY for corporate applicants)										
Country of Incorporation										

<b>Registered Address<sup>1</sup></b>			
Address			
City/Town			
Post Code		Country	
Email Address			
Tel No		Fax No	

<b>Correspondence Address<sup>2</sup></b>			
<b>Please complete the section if correspondence is to be sent to a different address to that set out above</b>			
Address			
City/Town			
Post Code		Country	

<b>Specified U.S. Person</b>	
Please tick either <b>(a)</b> or <b>(b)</b> and complete as appropriate:	
<p>(a) <input type="checkbox"/> The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (US TIN) is as follows</p> <p>U.S. TIN _____.</p>	
<b>OR</b>	
<p>(b) <input type="checkbox"/> The Entity is not a Specified U.S. Person (please also complete the 'Declaration of Tax residency' and 'FATCA Classification' sections below)</p>	

<b>Declaration of Tax residency</b>	
<i>(Note: Declaration of Tax residency is requested in the context of the OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis.)</i>	
Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries of tax residence and associated Tax ID numbers).	
<b>Country of Tax Residency</b>	<b>Tax ID Number</b>

**Joint Applicants**

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

**First additional applicant details**

Title	Mr		Mrs		Miss		Ms		Other (please specify)	
Surname										
Forename(s) in full										
Residential address										
Mailing address (if different)										
Nationality									Date of Birth	

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

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

- (a) ☐ I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number

(U.S. TIN) is as follows: \_\_\_\_\_.

**OR**

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

**Declaration and Undertaking**

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

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

Authorised Signature: \_\_\_\_\_

Date: (dd/mm/yyyy): \_\_\_\_\_

**Second additional applicant details**

Title	Mr		Mrs		Miss		Ms		Other (please specify)	
Surname										
Forename(s) in full										
Residential address										
Mailing address (if different)										
Nationality									Date of Birth	

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

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

- (a) ☐ I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number

(U.S. TIN) is as follows: \_\_\_\_\_.

**OR**

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

## Declaration and Undertaking

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

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

Authorised Signature: \_\_\_\_\_

Date: (dd/mm/yyyy ): \_\_\_\_\_

Third additional applicant details							
Title	Mr		Mrs		Miss	Ms	Other (please specify)
Surname							
Forename(s) in full							
Residential address							
Mailing address (if different)							
Nationality						Date of Birth	

Declaration of U.S. Citizenship or U.S. Residence for Tax purposes	
Please tick either (a) or (b) and complete as appropriate	
(a)	<input type="checkbox"/> I confirm that <b>I am</b> a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number  (U.S. TIN) is as follows: _____.
<b>OR</b>	
(b)	<input type="checkbox"/> I confirm that <b>I am not</b> a U.S. citizen or resident in the U.S. for tax purposes.
(c)	

## Declaration and Undertaking

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

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

Authorised Signature: \_\_\_\_\_

Date: (dd/mm/yyyy ): \_\_\_\_\_

<sup>1</sup> This address should be the address of the registered holder e.g. the nominee's address if Units are held by a nominee. 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 in Section 4. PO Boxes or 'care of' addresses should not be provided.

<sup>2</sup> If a separate mailing address is being provided by a company, this must be in addition to the provision of details of the company's registered address.

Please note that by completing this Application Form you are providing personal data to the Manager for the purposes of applying for Units in the Fund. This data will be used for the purposes of administration, analysis, research and disclosure to the Manager its delegates and agents. Your consent is required for the use of your personal data in the "Declarations" section of the Application Form.

Additional applicants will be required to provide confirmation of residential address details for anti-money laundering verification purposes, in addition to tax information as required in Section 5.

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

## SECTION 3 - Bank Details

### Subscription monies – for Settlement of Purchase of Units

All subscription payments must be made by electronic funds transfer to the relevant account detailed below for settlement no later than 14.30 GMT for EUR and USD subscriptions, 13.30 GMT for GBP subscriptions, 11.30 GMT for CHF subscriptions and 17.00 GMT for USD subscriptions two Business Days following the relevant Valuation Day ("Settlement Day").

#### **EUR subscriptions banking details**

Intermediary Bank: Bank of America London\*\*  
SWIFT: BOFAGB22\*\*  
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg  
SWIFT: FETALULL  
Final Beneficiary: Plurima EUR Subscription Account  
IBAN number: LU603412174301991800  
Reference: Investor name and trade confirmation number

**\*\*NOTE for EUR Payments:** In order to benefit as much as possible from local clearing, it is recommended that you route your payment via one of the following of our Bank of America EUR correspondent banks:

Code Swift	Bank Name
BOFAGB22	Bank of America London
BOFAFRPP	Bank of America Paris
BOFADEFX	Bank of America Frankfurt
BOFAIT2X	Bank of America Milan
BOFAES2X	Bank of America Madrid
BOFABE3X	Bank of America Antwerp
BOFAIE3X	Bank of America Dublin
BOFANLNX	Bank of America Amsterdam

#### **USD subscriptions banking details**

Intermediary Bank: Bank of America New York  
SWIFT: BOFAUS3N  
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg  
SWIFT: FETALULL  
Final Beneficiary: Plurima USD Subscription Account  
IBAN number: LU043412174301938100  
Reference: Investor name and trade confirmation number

#### **GBP subscriptions banking details**

Intermediary Bank: Bank of America London  
SWIFT: BOFAGB22  
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg  
SWIFT: FETALULL  
Final Beneficiary: Plurima Funds Subscription Account  
IBAN number: LU653412174301940300  
Ref: Investor name

#### **CHF subscriptions banking details**

Intermediary Bank: Bank of America New York  
SWIFT: BOFACH2X  
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg  
SWIFT: FETALULL  
Final Beneficiary: Plurima Funds Subscription Account  
IBAN number: LU633412174301970600  
Ref: Investor name and trade confirmation number

#### **AUD subscriptions banking details**

Intermediary Bank: Bank of America New York  
SWIFT: BOFAAUSX  
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg  
SWIFT: FETALULL

Final Beneficiary:	Plurima Funds Subscription Account
IBAN number:	LU963412174301912000
Ref:	Investor name and trade confirmation number

### Redemption monies – for Payment of Redemption Proceeds

The bank details for receipt of redemption proceeds are as outlined below. I/We undertake to inform the Administrator in writing of changes to those details immediately.

Name of Bank:	
Address of Bank:	
Country:	
Bank SWIFT/Sort code:	
Name of Account Holder:	
Account Number:	
Applicant's signature:	

Redemption proceeds will be only returned in GBP to an account held in the name of the registered Unitholder(s).

## SECTION 4 - Anti-Money Laundering / Anti-Terrorist Financing Procedures

Under Irish legislation covering anti-money laundering and counter terrorist financing the Manager and the Administrator are required to obtain the following documentation to verify the identity and permanent address of all new investors. Please note that the application may not be accepted until all the relevant information has been received. Additional confirmation of identity or authority of the applicant or the source of funds may be required in certain circumstances.

**Redemptions will not be processed on non cleared/verified accounts. If you are an Existing Investor it will not be necessary to provide any of the information set out below in connection with this application, but please ensure that you have included your account number in Section 2 above.**

**Please disclose the purpose and intended nature of your investment in the Fund:**

A) Regular Savings	
B) Lump Sum Investment- less than 1 year	
C) Lump Sum Investment- more than 1 year	
D) Periodic Investment	
E) Other (Please Specify)	

The following materials must be provided to the Administrator and all copies **must be certified** by an appropriate authority\*:

<b>4.1 For Designated Persons<sup>1</sup></b>		
<b>4.1.1 For Designated Persons<sup>1</sup> acting on their own account in a Specified Country<sup>2</sup></b>		
<b>Requirement</b>	<b>Enclosed</b>	
Name of Regulatory Authority or website URL.		
Registration/License No.		
<b>4.1.2 For Designated Persons<sup>1</sup> in a Specified Country<sup>2</sup> acting on behalf of Third Parties, or that Introduce Investors or is acting as a Nominee Investor</b>		
<b>Requirement</b>	<b>Enclosed</b>	
Please complete the Eligible Introducer Confirmation in <b>Appendix 1.</b>		
<b>4.1.3 For Designated Persons<sup>1</sup> NOT in a Specified Country<sup>2</sup> please see requirements set out in 4.3.3.</b>		
<b>4.2 Individual Applicants</b>		
<b>4.2.1 For Individuals in a Specified Country<sup>2</sup></b>		
<b>Requirement</b>	<b>Enclosed</b>	
An original or certified copy of:	First applicant	
(i) a valid government issued form of picture identification (e.g., passport, etc), and	1 <sup>st</sup> additional appl.	
(ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).	2 <sup>nd</sup> additional appl.	
	3 <sup>rd</sup> additional appl.	

<b>4.2.2 For all other Individuals</b>		
<b>Requirement</b>	<b>Enclosed</b>	
An original or certified copy of:	First applicant	
(i) a valid government issued form of picture identification (e.g., passport, etc), and	1 <sup>st</sup> additional appl.	
(ii) 2 different forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).	2 <sup>nd</sup> additional appl.	
	3 <sup>rd</sup> additional appl.	
<b>4.3 Corporate Applicants</b>		
<b>4.3.1 For Listed Companies<sup>3</sup> in a Specified Country<sup>2</sup></b>		
<b>Requirement</b>	<b>Enclosed</b>	
Name of Exchange or Exchange Website URL.	.	
<b>4.3.2 For Private Companies in a Specified Country<sup>2</sup></b>		
<b>Requirement</b>	<b>Enclosed</b>	
Certified copy of a certificate of due formation and organisation and continued authorisation to conduct business in the jurisdiction of its organisation (e.g. certificate of incorporation / registration).		
Certified copy of the memorandum and articles of association or equivalent constitutional document.		
Certified copy or original of the appropriately authorised mandate for the directors to open / operate the account.		
Certified copy or original authorised signatory list.		
Original or certified copy of the register of members/shareholders (beneficial owners) listing the name of each person who directly, or indirectly, is the beneficial owner of more than 25% of any voting or non-voting class of equity interests of the prospective investor or exercises control over the management of the company.		
For all beneficial owners as described above: A certified copy of a government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current address dated within the last 6 months (e.g., current utility bill, bank statement etc); or identification requirements per legal form if not individuals		
For all beneficial owners as described above: Please complete the Beneficial Ownership Declaration in <u><b>Appendix 2.</b></u>		
Original or Certified copy of Register of Directors.		
For two Directors (or one Director and one signatory), certified copy of:		
(i) a valid government issued form of picture identification (e.g., passport, etc), and		
(ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).		
<b>4.3.3 For all other Corporate Applicants and Designated Persons NOT from a Specified Country (the below are required in addition to all items requested at 4.3.2 above)</b>		
<b>Requirement</b>	<b>Enclosed</b>	
For all Directors with signing authority:		
(i) A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and		
(ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).		
<b>4.4 Partnerships and Trusts</b>		
<b>Requirement</b>	<b>Enclosed</b>	
A certified list of names, date of birth, occupation and permanent addresses of all partners / trustees / beneficiaries where ascertainable.		
Certified copy of the partnership or trust deed as appropriate.		
Documentation to establish the identities of all those authorised to issue instructions and two partners in the case of a partnership and two trustees. This documentation to include an original or certified copy of:		
(i) a valid government issued form of picture identification (e.g., passport, etc), and		
(ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).		
Certified copy of the appropriately authorised mandate from the partnership/trust as appropriate authorising the investment in the Trust and conferring those who can trade on the account.		

Certified copy of authorised signatory list.	
List of beneficial owners/ controllers who own or control more than 25% of the net capital or profits or voting rights of the partnership or trust as applicable.	
For all beneficial owners described above, a certified copy of: (i) a valid government issued form of picture identification (e.g., passport, etc), and (ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc); or identification requirements per legal form if not individuals.	
For all beneficial owners as described above: Please complete the Beneficial Ownership Declaration in <b>Appendix 2</b> .	
<b>4.5 Institutional Investors</b>	
<b>Requirement</b>	<b>Enclosed</b>
Documentary evidence of the regulatory status of the investor from a recognised regulatory authority.	
Certified copy of authorised signatory list and mandate authorising investment in the Fund and conferring authority on those who can trade on the account.	
Certified copy of the constitutive document of the investor.	
Names, dates of birth, occupation and permanent address of all governors/board members of the institution.	
Documentation to establish the identities of two governors/board members of the institution. This documentation to include an original or certified copy of: (i) a valid government issued form of picture identification (e.g., passport, etc), and (ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc).	
List of beneficial owners/ controllers who own or control more than 25% of the net capital or profits or voting rights of institution.	
For all beneficial owners described above, a certified copy of: (i) a valid government issued form of picture identification (e.g., passport, etc), and (ii) 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc); or identification requirements per legal form if not individuals.	
For all beneficial owners as described above: Please complete the Beneficial Ownership Declaration in <b>Appendix 2</b> .	

**Please note that if sections 4.1 – 4.5 above do not apply, please contact the Administrator immediately.**

**Please note that the Application may not be accepted until all the relevant information has been received. Additional confirmation of identity or authority of the applicant or the source of funds may be required in certain circumstances.**

\*All copies can be certified by any of the following; a police officer, practicing chartered and certified public accountant, notaries public, practicing solicitor, embassy and consular staff or a representative of your bank, registered broker-dealer or other regulated financial institution. Each document should be marked with the words 'original seen' or 'true' copy of original documents'. The document should be signed and where applicable stamped by the person/entity certifying the document and noting their capacity and license number (if applicable).

<sup>1</sup> A "Designated Person" is a regulated financial institution (i.e., bank or broker-dealer), a credit institution, an auditor, external accountant or tax adviser, a relevant independent legal professional, a trust or company service provider.

<sup>2</sup> Specified Countries: EU Member States and Argentina, Australia, Brazil, Canada, Hong Kong, Iceland, Japan, Liechtenstein, Mexico, New Zealand, Norway, the Russian Federation, Singapore, Switzerland, South Africa, USA, The Channel Islands and the Isle of Man, The Dutch overseas territories of Netherlands Antilles and Aruba, The French Overseas Territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis and Futuna.

<sup>3</sup> Listed company is one whose securities are admitted to trading on a regulated market.

## SECTION 5 - Declarations and Signatures

By signing below:

### 1. Receipt and Consideration of Fund Documentation

[I/We hereby acknowledge that I/we have received or accessed by electronic means and considered the KIID relating to the relevant Class(es) in which investment is proposed to be made and this Application and any future investment in any Sub-Fund of the Fund is made on the terms thereof and subject to the provisions of the relevant KIID, the Prospectus of the Fund and the Trust Deed constituting the Fund as amended from time to time, all of which are subject to Irish law and the jurisdiction of the Irish courts. ]

[I/we confirm that I/we received the KIID in electronic form by way of accessing the latest version of the document via the Manager's website, namely [www.egifunds.com](http://www.egifunds.com) and I /we confirm that:

- (i) the provision of the KIID or the Prospectus in that medium is appropriate to the context in which the business between the Manager and I/us is, or is to be, carried on;
- (ii) when offered the choice between the KIID in paper or in electronic form by way of accessing the latest version of the KIID via [www.egifunds.com](http://www.egifunds.com), I/we specifically chose electronic form by way of accessing the latest version of the KIID via [www.egifunds.com](http://www.egifunds.com) in respect of all subscriptions in the Fund present and future;
- (iii) I/We consent to the provision of the KIID or the Prospectus by means of the Manager's website ([www.egifunds.com](http://www.egifunds.com)); and
- (iv) I/We have been notified electronically of the address of the Manager's website (i.e. [www.egifunds.com](http://www.egifunds.com)), and the place on the Manager's website where the KIID or the Prospectus may be accessed (i.e. [www.egifunds.com](http://www.egifunds.com)).
- (v) [I/We confirm that I/we will access the KIID via [www.egifunds.com](http://www.egifunds.com) before making any subsequent subscriptions for Units in any Sub-Fund of the Fund.

- 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 Application Form whether this investment is my/our own name or is made on behalf of another person or institution.
- 3. I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions and acknowledge that the Manager reserves the right to reject any application in whole or part without assigning any reason therefor.
- 4. Politically Exposed Person – Tick either A) or B)

A) ☐

I/We hereby represent and warrant that, to the best of our knowledge, none of:

- (1) the investor;
- (2) any person controlling or controlled by the investor;
- (3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- (4) any person for whom the investor is acting as agent or nominee in connection with this investment is a politically exposed person,\* or any immediate family member\*\* or close associate of a politically exposed person as such terms are defined in the footnotes below

or

B) ☐

I/We confirm that I/We meet the definition of a politically exposed person,\* or any immediate family member\*\* or close associate of a politically exposed person as such terms are defined in the footnotes below and will provide the necessary disclosures regarding source of wealth and where relevant the source of wealth of any beneficial owners.

\* "politically exposed person" means an individual who is, or has at any time in the preceding year been, entrusted 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; "specified official" means 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.

"The definition also expands to a "close associate", "immediate family member" of a politically exposed person and includes any of the following persons: a)any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b)any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c)any spouse of a PEP c)any person who is the equivalent of a spouse under the national law of the place where the PEP resides e)any cohabitant, f) any child or parent of the politically exposed person or spouse of the child of the PEP g)any other family member who is of a prescribed class.

5. I/We agree to provide to the Manager or its appointed Administrator or Distributor with any additional documentation that it or they may require to verify my/our identity in accordance with current anti-money laundering/terrorist financing and/or taxation of savings legislation. 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 unit transfer requests on my/our behalf. I/We hereby hold the Manager and the Administrator and the Distributor harmless and indemnify them against any loss arising 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. I/We declare that I/we am/are not a US Person and certify that the Units applied for are not being acquired for the benefit of, directly or indirectly, 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 Units to a US Person or any person in violation of any applicable law or regulation.
7. The Manager, the Distributor, and the Administrator of the Fund are hereby authorised to accept and execute any instructions in respect of the Units to which this application relates or which may in future be acquired by me/us which are given by me/us in written form or by facsimile or such other means as may from time to time be permitted by the Manager 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 Manager, the Distributors and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon Instructions. The Manager, the Distributor, 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 to be signed or given by properly authorised persons.
8. I/We hereby agree to indemnify and hold harmless each of the Manager, the Administrator and the Distributors and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to any of them and shall notify the Manager immediately if any of the representations herein made are no longer accurate and complete in all respects.
9. I/We agree to provide to the Manager, the Administrator and/or the Distributor at such times as each 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 Manager or the Administrator immediately of any such change and further agree to request the redemption of Units in respect which such confirmations have become incomplete or inaccurate if requested to do so by the Manager. I/we agree to notify the Manager of any change to my/our tax residency status.
10. I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Units by me/us in the Fund.
11. (In respect of joint applicants only) we direct that on the death of one of us the Units 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.
12. I/We hereby acknowledge that any notice or document may be served by the Manager 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 Manager 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 Manager 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 Manager 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 Manager of written notice of such revocation.

13. I/We have such knowledge and experience in business and financial matters that I/we am/are capable of evaluating the merits and risks of an investment by me/us in the Units.
14. We confirm that the persons listed below on the attached authorised signatories list and whose specimen signatures appear under the heading "Authorised Persons" on that list are duly authorised to give Instructions with respect to Units held by us in the Fund. (For corporate applicants only.)

#### **15. Data Protection/Information about other investment services**

In signing this application form, I/we acknowledge that each of the Manager and Trustee is a data controller and hereby consent to the Manager and Trustee and their respective delegates and duly authorised agents and any of their respective related, associated or affiliated companies obtaining, holding, using, disclosing and processing my data:

- To establish my/our identity and manage and administer my/our holding in the Fund and any related accounts on an on-going basis;
- For any other specific purposes where I/we have given specific consent to do so;
- To carry out statistical analysis and market research;
- To comply with legal or regulatory requirements applicable to the Fund or any of them or me;
- For disclosure or transfer whether in Ireland or countries outside of Ireland including without limitation the United States of America, which may not have the same data protection laws as Ireland, to third parties including my financial adviser (where appropriate), regulatory bodies, tax authorities, auditors, technology providers or to the Manager and Trustee and their respective delegates and duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above;
- For disclosure to the tax authorities in Ireland and in my/our country of residence in accordance with the EU Taxation of Savings Directive (2003/48/EC) and applicable local regulations; and
- For other legitimate business interests of the Manager and Trustee relating to the Fund.

I /we hereby acknowledge my/our right of access to and the right to rectify my/our personal data.

The Manager and the Trustee is a data controller and will hold any personal information provided by me in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act, 2003.

I/we consent to the recording of telephone calls made to and received from me/us by the Manager, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes.

I/we consent to the sending by the Manager of information about other investment services to me/us, by letter, telephone or other reasonable means of communication.

Please tick this box if you do not wish to receive such communications: ☐

I/We acknowledge my/our right to object to the processing of my/our data for direct marketing purposes by written request to the Manager free of charge.

I/We confirm that I/We have read the section at Appendix 5, entitled, Customer Information Notice, Common Reporting Standards.

#### **16. EU Savings Directive Declaration**

Council Directive 2003/48/EC of 3 June 2003 (the "EU Savings Directive"), which deals with the taxation of savings income in the form of interest payments, seeks to ensure that individuals that are resident and "residual entities" that are established in an EU Member State or a "dependent or associated territory" who receives savings income from a paying agent in an EU Member State or dependent or associated territory are taxed in the EU Member State or dependent or associated territory in which he/she is resident for tax purposes. "Dependent or associated territory" includes Aruba, Netherlands Antilles, Jersey, Guernsey, Isle of Man, Anguilla, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands and may be updated from time to time. The Manager is obliged to establish the identity and residence of such individuals and "residual entities" as described above.

Please complete 16.1 or 16.2 as appropriate.

## 16.1 EU Savings Directive Declaration - Individuals

Date & Place of Birth:	
Country of issue of Passport/Official ID card*:	
If applicable, your Tax Identification Number ("TIN") issued by your country of residence together with documentary evidence thereof:	
If applicable, please specify the country issuing TIN:	

\*Applicants who present a passport or official National ID card issued by an EU Member State or dependent or associated territory and claim to be tax resident in a country other than that EU Member State must produce a certificate of tax residence issued by that country he/she claims to be tax resident in. If they do not, they will be treated for the purposes of the EU Savings Directive as tax resident in the country, which issued the passport or official National Identity card presented by them.

**Note: Individuals acting as an intermediary for another person will be treated as the beneficial owner for the purposes of the EU Savings Directive unless they can provide appropriate evidence that this is the case.**

## 16.2 EU Savings Directive Declaration – Corporate Entities

N.B. This Declaration is to be completed by applicants resident in an EU Member State who are **not** natural persons (i.e. not an individual, unincorporated body, unincorporated partnership or any of the foregoing acting as trustee of a trust).

Corporate or Equivalent Entities		Certification
Is the applicant: (Please tick one of the following and confirm the certification provided)		
a)	A company (including a company acting as a corporate trustee), or other legal person (Certificate of Incorporation or document from the appropriate authority certifying that the entity is a legal person); or	<input type="checkbox"/>
b)	An entity taxed under the general arrangements for business taxation i.e. its profits are subjected to corporation tax or tax in another territory which corresponds to corporation tax in Ireland (document from the appropriate Revenue authority certifying that the entity is taxed as such); or	<input type="checkbox"/>
c)	A UCITS (or an equivalent collective investment undertaking in a relevant territory other than an EU Member State) (certificate from the appropriate regulatory authority); or	<input type="checkbox"/>
d)	An entity that has elected to be treated as a UCITS for the purposes of the legislation (certificate from the appropriate tax authority); or	<input type="checkbox"/>
e)	A pension fund (if applicable, corporate trustees to a pension fund should tick box (a)) (certificate from the appropriate regulatory authority); or	<input type="checkbox"/>
f)	A charity (if applicable, corporate trustees to a charity should tick box (a)) (certificate from the appropriate regulatory authority); or	<input type="checkbox"/>
g)	A Finnish avoin yhtiö (Ay); (certificate from the appropriate authority); or	<input type="checkbox"/>
h)	A Finnish kommandiittiyhtiö (Ky)/öppet bolag; (certificate from the appropriate authority); or	<input type="checkbox"/>
i)	A Finnish kommanditbolag; (certificate from the appropriate authority); or	<input type="checkbox"/>
j)	A Swedish handelsbolag (HB); (certificate from the appropriate authority); or	<input type="checkbox"/>
k)	A Swedish kommanditbolag (KB) (certificate from the appropriate authority)	<input type="checkbox"/>
l)	A residual entity (none of the above entities)	<input type="checkbox"/>

		(Only residual entities established in an EU Member State or dependent or associated territory fall within the Savings Directive. If not established in an EU Member State or dependent or associated territory, please provide evidence of country of establishment)			

## 17. Declaration of residence outside the Republic of Ireland

Applicants resident outside the Republic of 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 Units. Terms used in this declaration are defined in the Prospectus.

*Please tick a) or b)*

*Either:*

### a) ☐ Declaration on own behalf

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

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

or

### b) ☐ Declaration as Intermediary

I am/we are\* applying units on behalf of persons:

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

I/We\* also declare that:

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

*\* Please delete as appropriate*

If you are resident or ordinarily resident in Ireland and are a qualifying investor within the meaning of Section 739D(6) of the Taxes Consolidation Act, 1997 please delete the declarations on own behalf and as Intermediary and contact the Administrator for a separate declaration form suitable for you.

## 18. FATCA and the Common Reporting Standard ("CRS")

I/We acknowledge that the Manager intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Manager intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Fund to comply with the above FATCA and CRS obligations, I/We agree to provide to the Manager / Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Manager / Administrator immediately of any such change and further agree

to immediately take such action as the Manager / Administrator may direct, including where appropriate, redemption of our Units in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Manager / Administrator. If relevant, I/we agree to notify the Manager / Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Fund, Manager and Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Manager / Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Manager / Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Fund, and that the Fund / Manager / Trustee are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Fund / Manager / Trustee against any loss suffered by them or other Unitholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included at Appendices 3 and 4. I/We further confirm that if any information included in the self-certification forms subsequently becomes inaccurate or incorrect we will notify the Manager / Administrator immediately of any such change and agree to immediately take such action as the Manager / Administrator may direct, including where appropriate, redemption of our Units.

## SECTION 6 - Signatures

### Signatures and Date of Application

First Applicant (Authorised Signatory):

Capacity of Authorised Signatory, if applicable

First Additional Applicant or  
second Authorised Signatory (if applicable)

Capacity of Authorised Signatory, if applicable

Application Date

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Second Additional Applicant or  
third Authorised Signatory (if applicable)

Capacity of Authorised Signatory, if applicable

Third Additional Applicant or  
fourth Authorised Signatory (if applicable)

Capacity of Authorised Signatory, if applicable

Company Seal, if applicable

### Notes to assist in completion

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. The application form including the non-resident declaration may also therefore be disclosed to the Irish Revenue Commissioners.
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 certified copy of the power of attorney must be furnished in support of the signature.
4. "Intermediary" means a person who:
  - (a) carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons, or
  - (b) hold units in an investment undertaking on behalf of other persons.
5. The Fund is regulated in Ireland by the Central Bank of Ireland.
6. Investors should not complete this Application Form until they have received the KIID relating to the Class in which investment is being made. See Section 5(1).
7. Copies of the most recently published annual and semi-annual reports of the Fund are available free of charge from the registered office of Manager and the Correspondent Bank. Copies of the Prospectus are available free of charge from the registered office of the Administrator.
8. A corporation should affix its common seal and have it countersigned by persons authorised to countersign the seal or otherwise should execute under the hand of a duly authorised official or officials who should state his/their representative capacity. A certified copy (certified by a director or secretary of the company) of the resolution or other authority authorising one or more signatories should be provided with the application form.
9. If any of the details provided by the applicant(s) in this application form change during the lifetime of this investment, please advise the Administrator immediately, in order to avoid any possible settlement delays at some future date.

## Appendix 1

### ELIGIBLE INTRODUCER CONFIRMATION

**To be completed by a distributor/nominee or other entity (the "Introducer") investing on behalf of a third party (the "Investor") introduced to RBC Investor Services Ireland Limited ("RBC") in RBC capacity as administrator of Plurima Funds (the "Fund")**

I/we (insert name and address of distributor/nominee) \_\_\_\_\_

(the "Introducer") confirms the following in connection with all Investors, where such investors appear directly on the unitholder register(s) of the Fund or are held through nominee accounts in the name of the Introducer, for units in the Fund for which RBC acts as administrator:

1. The Introducer is regulated in (insert jurisdiction) \_\_\_\_\_ by (insert regulator name) \_\_\_\_\_ and it is obliged pursuant to (insert relevant legislation) \_\_\_\_\_ to have appropriate anti-money laundering and counter terrorist financing procedures in place which are in line with the requirements specified by FAFT/GAFI.
2. All Investors are known and have been identified to the Introducer and the Introducer will retain sufficient information on file to verify the identity of all such Investors including where relevant the beneficial owners of such Investors.
3. The Introducer will independently verify the address of the Investors, as stated on the application forms to be the correct permanent address of the Investors.
4. The Introducer understands that those parties to whom it is introducing Investors are relying on the customer due diligence checks performed by it so as to meet with their own anti- money laundering and anti-terrorist financing obligations.
5. The Introducer confirms that it has adopted procedures to identify those customers who meet the definition of a Politically Exposed Person (PEP).
6. The Introducer confirms it has trained all of its employees on the prevention of money laundering and the financing of terrorism.
7. The Introducer undertakes to retain such Investor identification documentation and information for a period of not less than five years after the date on which it ceases to provide any service to the Investor or the date the relationship with the Investor ends, whichever is the later.
8. The Introducer will provide RBC with copies, upon request, of all necessary documents and information related to Investors, which we have on our files. The Introducer will provide any such assistance as RBC may request where a suspicion of money laundering by an Investor exists.

The Introducer hereby undertakes to notify RBC immediately of any concerns that we may have in connection with Investors in the context of any applicable anti-money laundering legislation/regulations for the time being in force in Ireland or any other relevant jurisdiction, or in the event of any suspicious circumstances relating to any Investors introduced by the Introducer to RBC .

In addition, the Introducer confirms that in carrying out our functions as distributor/nominee to the Fund we will observe and comply with the:

- i. provisions of any applicable regulations of the Central Bank of Ireland, the Trust Deed of the Fund and the Prospectus of the Fund (as amended from time to time);
- ii. any other such documents relating to the Fund;
- iii. any applicable laws regulations, rules and practices of any relevant jurisdiction from time and time.

The person signing below confirms that he/she is duly authorised to sign this declaration on behalf of the Introducer.

Capacity of signatory (Director/Manager etc) \_\_\_\_\_

Signature: \_\_\_\_\_

(Please print name in block capitals)

Date: \_\_\_\_\_

## Appendix 2

### BENEFICIAL OWNERSHIP DECLARATION

***To be completed by persons who directly, or indirectly, are the beneficial owners of more than 25% of the capital / assets / voting rights of the Applicant (the "Beneficial Owner")***

Ref: Investment in [Insert Class and Sub-Fund] \_\_\_\_\_ in Plurima Funds (the "Fund").

I, [insert full name of the Beneficial Owner] \_\_\_\_\_, herewith confirm that I am the ultimate economic beneficiary of [Insert percentage holding] \_\_\_\_\_ % of the capital / assets / voting rights of [insert name of Applicant] \_\_\_\_\_

I further confirm that the investments made in the Fund:

- are not made on behalf of a third party;
- the funds made available to the Fund are not from a criminal origin, of whatsoever nature, and in particular do not constitute the proceeds of money laundering or terrorism.
- originate from the following source (tick-off the right box):
  - ☐ Capital of the company
  - ☐ Other (please describe).

Should this situation change, I will advise RBC Investor Services Ireland Limited immediately.

Signature: \_\_\_\_\_  
(Please print name in block capitals)

Date: \_\_\_\_\_

## Appendix 3

### Entity Self-Certification for FATCA and CRS

Instructions for completion

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 investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

(Mandatory fields are marked with an \*)

**Investors that are individuals should not complete this form and should complete the form entitled "Individual Self-Certification for FATCA and CRS".**

#### **Section 1: Investor Identification**

**Investor Name\*:** \_\_\_\_\_  
(the "Entity")

**Country of Incorporation or Organisation:**

**Current 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 Specified U.S. Person:**

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 3, 4 and 5) ☐

**Section 3: Entity's FATCA Classification\***

(the information provided in this section is for FATCA, please note your 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

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

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

\_\_\_\_\_

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

I.	The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide the sponsor's name and sponsor's <i>GIIN</i> : Sponsor's Name:_____ Sponsor's <i>GIIN</i> :_____	
II.	<i>Exempt Beneficial Owner</i>	
III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

**3.4 Non-Financial Institutions under FATCA:**

If the Entity is not a Financial Institution, please tick one of the below categories

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity</i> (If this box is ticked, please include self-certification forms for each of your Controlling Persons)	
III.	<i>Excepted Non-Financial Foreign Entity</i>	

**Section 4: CRS Declaration of Tax Residency**

(please note that you may choose more than one country)\*

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")).

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

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.

Country of Tax Residency	Tax ID Number

## **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):

For more information please see the 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, please tick one of the below categories

I.	<i>Financial Institution under CRS (other than (II) below)</i>	
II.	<i>An Investment Entity located 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 and complete a separate individual self-certification forms for each of your Controlling Persons **)</i>	

### **5.2 Non Financial Institutions under CRS:**

If the Entity is a Non Financial Institution, please tick one of the below categories

I.	<i>Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation</i>	
II.	<i>Active Non-Financial Entity – a Government Entity or Central Bank</i>	
III.	<i>Active Non-Financial Entity – an International Organisation</i>	
IV.	<i>Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)</i>	
V.	<i>Passive Non-Financial Entity (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s) )</i>	

#### **\*\*Controlling Person's:**

**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>

## **Section 6: 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 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 undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance 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):\* \_\_\_\_\_

## Appendix 4

### Individual (Controlling Person's) Self-Certification for FATCA and CRS

#### Instructions for completion

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 investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

**Sections 1, 2, 3 and 5 must be completed by all investors.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.** For further guidance see. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314> *(Mandatory fields are marked with an \*)*

#### **Section 1: Investor Identification**

Investor Name\*: \_\_\_\_\_

Current Residential Address\*: Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

Mailing address (if different from above):

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

Place Of Birth\*:

Town or City of Birth\*: \_\_\_\_\_ Country of Birth\*: \_\_\_\_\_

Date of Birth\*: \_\_\_\_\_

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

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

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

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**OR**

- (b) ☐ I confirm that [**I am not**]/[the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

**Section 3: CRS Declaration of Tax Residency (please note you may chose more than one country)\***

Please indicate your/ the investor's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ("TIN"). Please see the CRS Portal for more information on Tax Residency.

Country of Tax Residency	Tax ID Number

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

**Section 4 – Type of Controlling Person**

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

For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person

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

**Section 5: Declaration and Undertakings:**

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

**I acknowledge 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 where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.**

Authorised Signature\*: \_\_\_\_\_

Print Name\*: \_\_\_\_\_

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

Capacity\*: \_\_\_\_\_

## Appendix 5

### Customer Information Notice – Common Reporting Standard

The Manager intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (“**the Standard**”) and, specifically, the Common Reporting Standard (“**CRS**”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Manager is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

Please note that in certain circumstances the Manager may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the Fund with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the Manager to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Manager.

- The name, address, jurisdiction of residence, tax identification number and date and place of birth, in the case of an individual, of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions such as the Fund may adopt the “wider approach” for CRS. This allows the Manager to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The Manager can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the Fund’s tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only: <http://www.oecd.org/tax/automatic-exchange/>

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard.