



WAVERTON  
INVESTMENT FUNDS

## WAVERTON INVESTMENT FUNDS PLC

No repurchase proceeds can be paid out until the original application form has been received by the Administrator, at the address provided below, and all Anti-Money Laundering checks have been completed.

### ACCOUNT APPLICATION

This form is to be used exclusively for investing in shares of Waverton Investment Funds Plc (the "Company"), an umbrella fund with segregated liability between sub-funds. All Applicants wishing to purchase shares of the Company shares must first complete this form and fax it, with the original copy to follow via post, to the Company's administrator, CACEIS Ireland Limited ("Administrator") using the following contact details:

Customer Service: +353 1 4406555 (for Queries only)  
Fax: +353 1 6130401  
E-Mail: Dublin\_TA\_Customer\_Support@caceis.com (for Queries only)  
Address: Waverton Investment Funds Plc.  
C/O CACEIS Ireland Limited  
First Floor, Bloodstone Building  
Sir John Rogerson's Quay  
Dublin 2, Ireland  
D02 KF24  
Hours of Operation: 9 a.m. - 5.30 p.m. Dublin Time/Trading Cut-Off is 10 a.m. Dublin Time

## 1 APPLICANT ACCOUNT REGISTRATION

This application is made on behalf of (please select one):

- Intermediary/Investment Adviser  Nominee Investor  
 An Individual/Sole Proprietor  Other (please specify below)

All communications will be delivered to the first named shareholder at the address indicated below:

Shareholder 1 Full Name
Shareholder 2 Full Name
Designation** (if any)
Street Address (of shareholder 1 only)
Town/City (of shareholder 1 only)
Postcode (of shareholder 1 only)
Country (of shareholder 1 only)
Telephone (of shareholder 1 only)
Fax (of shareholder 1 only)
Email Address* (of shareholder 1 only)
Mailing Address (please state if different)

\*By providing an email address to the Company, the Applicant (i) agrees to receive all Company and sub-fund related documentation and / or communication, including but not limited to prospectuses, financial reports, documentation required at shareholder meetings and links to the website on which the key investor information documents are published, electronically at the email address specified, and (ii) undertakes to keep the Company informed of any changes to such email address. Applicant may at any time request a hard copy of any such communications from the Company and / or revoke (or have authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

If an email address is not provided above, all communications will be delivered via post to the first shareholder's address.

\*\*If application form covers all account designations under the registered name, please state "all designations".

## 2 INITIAL INVESTMENT DETAILS

New Application

If Subsequent Investment, please provide existing account number below

Subsequent Investments

Please select currency, investment option, and share class for the Fund(s) you are purchasing and indicate the investment amount(s)

	Please select share class*													Please select one currency				Hedged Y/N	Please select one investment option		Accumulation class	Please insert investment amount	
	A	AI	B	BI	F	I	II	L	M	P	PI	R	S	Z	US	EUR	GBP	CAD	Hedged	Cash	Shares		Acc
Waverton Absolute Return Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Asia Pacific Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton European Capital Growth Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton European Dividend Growth Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Global Credit Opportunities Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Global Equity Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Global Strategic Bond Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Growth Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Growth Fund (€ Denominated)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Balanced Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Cautious Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Defensive Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Multi-Asset Income Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Real Assets Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Sterling Bond Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Waverton Strategic Equity Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

• Payment for purchases must be received and accepted by the Administrator by Trade Date + 3 business days and before the currency cut off times. If payment for a purchase order is not received by this deadline, your purchase may be cancelled and you may be responsible for any losses and/or interest at LIBOR plus 2% in the applicable currency.

\* For share class details please refer to the prospectus.

Shareholders should note that in the case of Funds which charge performance fees, such fees will be charged to the capital of the Funds. This will have the effect of lowering the capital value of a Shareholder's investment in those Funds.

### DISTRIBUTION OPTION

- Reinvest all distributions, if any. This option is automatic if no election is made.
- Wire all distributions, if any, to Applicant's Bank Account, as completed in section 3 overleaf

## 2 INITIAL INVESTMENT DETAILS CONTINUED

### ACCOUNT APPLICATION

• Listed below are the bank details to which your money should be settled in full by wire transfer.

	FOR STERLING INVESTMENT	FOR EURO INVESTMENT	FOR USD INVESTMENT	FOR CAD INVESTMENT
<b>Currency</b>	GBP (Pound Sterling)	EUR (Euro)	USD (United States Dollar)	CAD (Canadian Dollar)
<b>Intermediary Bank</b>	HSBC Bank Plc Intl.	/	JP Morgan Chase	Canadian Imperial Bank of Commerce
<b>SWIFT</b>	MIDLGB22	/	CHASUS33	CIBCCATT
<b>Beneficiary Bank</b>	CACEIS BANK Ireland Branch	CACEIS BANK Ireland Branch	CACEIS BANK Ireland Branch	CACEIS BANK Ireland Branch
<b>SWIFT</b>	ISAEIE2D	ISAEIE2D (via Target II)	ISAEIE2D	ISAEIE2D
<b>Beneficiary account</b>	WAVERTON INVEST FD PLC COLL AC	WAVERTON INVEST FD PLC COLL AC	WAVERTON INVEST FD PLC COLL AC	WAVERTON INVEST FD PLC COLL AC
<b>IBAN number</b>	IE35ISAE99032500017376	IE89ISAE99032500017374	IE62ISAE99032500017375	IE19ISAE99032500017373
<b>Ref</b>	Investor name	Investor name	Investor name	Investor name
<b>Currency cut off times</b>	GBP: 15:30 IST	EUR: 15:15 IST	USD: 16:15 IST	CAD: 15:30 IST

**NOTE:** For **UK domestic payments**, please note that each payment must quote the below payment reference

<b>Bank Name</b>	HSBC, London
<b>Bank Address</b>	8, Canada Square, London, E14 5HQ, United Kingdom
<b>GBP Account Number</b>	7688 8255
<b>Sort Code</b>	40-05-15
<b>Account Name</b>	CACEIS Bank, Ireland Branch
<b>Payment Reference</b>	WAVERTON INVEST FD PLC - CACEIS trade reference (as per contract note/MT515)

### 3 ACCOUNT DETAILS

Your bank account details (this section must be completed and the account must be in the name of the Account Holder or the account holder must be identified)

#### Subscription bank details

Please tick relevant box:  USD Account  Euro Account  GBP Account  CAD Account

Account Name	
IBAN Number	
Name and address of Bank	
Bank SWIFT/ABA No./Sort Code	
Special Instructions/FFC	
Beneficiary's Reference	
<b>Correspondent Bank Details</b>	
Bank Name	
Bank SWIFT/ABA No./Sort Code	
IBAN Number	

#### Redemption bank details

Please tick relevant box:  USD Account  Euro Account  GBP Account  CAD Account

Account Name	
IBAN Number	
Name and address of Bank	
Bank SWIFT/ABA No./Sort Code	
Special Instructions/FFC	
Beneficiary's Reference	
<b>Correspondent Bank Details</b>	
Bank Name	
Bank SWIFT/ABA No./Sort Code	
IBAN Number	

NB. Third party payments are not permitted. In order to prevent third party payments, we require subscription payments to come from a bank account in the name of the registered account holder.

#### Note for Financial Institutions and Intermediaries:

In order to comply with EU Regulation 2015/847, and FATF SR VII, the following information must be included for all subscription wires made to the Company:

For MT 103, Field 50a is to be used for Ordering Customer's information (either option below, as appropriate):

TAG	Field Name	Information to include
50a (option K)	Ordering Customer	The Payer's account number, name and address
50a (option A)	Ordering Customer	The Payer's account number and the BIC

For MT 202 (Field 52):

TAG	Field Name	Information to include
52A	Ordering Institution	The Ordering Institution's identifier code (BIC)

## 4 ANTI MONEY LAUNDERING (“AML”)

### SHAREHOLDER INFORMATION

Individuals - Shareholder 1

Occupation	
Business Area	
Employer / business name if self employed	
Nationality (please provide details of any dual citizenship held or previously held)	

Individuals - Shareholder 2 (if applicable)

Occupation	
Business Area	
Employer / business name if self employed	
Nationality (please provide details of any dual citizenship held or previously held)	

Corporate Investor (including financial institutions)

<input type="checkbox"/> Bank	<input type="checkbox"/> Pension Fund	<input type="checkbox"/> Foundation/Association	<input type="checkbox"/> Partnership
<input type="checkbox"/> Nominee	<input type="checkbox"/> Investment/Mutual Fund	<input type="checkbox"/> Government entity	<input type="checkbox"/> Insurance Company
<input type="checkbox"/> Corporate	<input type="checkbox"/> Other Financial Institution	<input type="checkbox"/> Trust	<input type="checkbox"/> Other (please specify):
Business Activity			

Please select one of the following categories, tick the relevant box that applies to the person or entity making the application and provide the requested information. If none of the three categories applies, please contact the Administrator to discuss what information is required in your circumstance.

AML approval must be granted by the Administrator prior to opening a new account and placing a new trade. The Applicant acknowledges that the Administrator, the Distributor(s) and/or the Company shall be held harmless and indemnified against any loss arising as a result of a failure to process the applications if such documents mentioned below have not been provided by the Applicant. In order to comply with AML legislation, please refer to the sections below for a list of the required documentation which must be submitted with your completed application:-

1. **Nominee Investor** (i.e holdings registered in a nominee name)

- Option 1:** (i) Wolfsberg Questionnaire.  
 (ii) Copy of the Authorised Signatory list.  
 (iii) KYC letter verifying that AML checks have been carried out on the underlying beneficial shareholders, which must include the following three statements:-

- 1) The Shareholders are known to us and we will retain sufficient information on file to verify the identity of these Shareholders in accordance with FATF (Financial Action Task Force) requirements.
- 2) We will provide you with copies of all documents and information, which we may have on our files relating to the identity of each Shareholder upon reasonable written request.
- 3) We will undertake to retain these documents and information for a period of at least 5 years after the relationship with the Shareholder has ended.

(iii) Wolfsberg Questionnaire.

(iv) KYC which can be provided and signed by the parent company (please refer to section 4.1 A above).



## 4 ANTI MONEY LAUNDERING (“AML”) CONTINUED

- Option 2:** (i) “Wholly owned subsidiary letter”, identifying that X Nominees Ltd is wholly owned by X Ltd of X address which is a regulated entity, signed by X Ltd (being the parent company).  
(ii) Copy of the Authorised Signatory list of both parent company and Nominee Investor.  
(iii) Wolfsberg Questionnaire.  
(iv) KYC which can be provided and signed by the parent company (please refer to section 4.1 A above).

The Administrator reserves the right to request further information and/or documentation to comply with AML legislation.

**Please refer to the Administrator who will provide the appropriate KYC letter template to be completed.**

### 2. Intermediary/ Investment Adviser

KYC letter- Please refer to Section 4.1 A (iv) above, in order to determine what statements must be included in the KYC letter.

**Please refer to the Administrator who will provide the appropriate KYC letter template to be completed.**

### 3. Individual or sole proprietor

Please supply a certified copy of a current valid passport which bears the photograph, date of birth and signature, together with an original or certified copy which verify the Applicant’s address, such as a utility bill or bank statement.

### 4. Other Institution

The Administrator reserves the right to request such information as is necessary to verify the identity of a subscriber or the source of the subscription monies. In the event of delay or failure by the subscriber to produce any information required for verification purposes, the Administrator may refuse to accept the application and subscription monies.

I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require the verification of my/our identity, address and source of funds and in certain circumstances of the relevant beneficial owner. In addition, this also requires the ongoing monitoring of our business relationship. I/we also acknowledge that the commencement of a business relationship with politically exposed persons, commonly referred to as PEPs, requires a higher level of scrutiny. A PEP is an individual who is or has, at any time in the preceding 12 months, been entrusted with a prominent public function, his/her immediate family members and/or close associates of such person.

#### PEP Confirmation

I/We confirm that I am/we are a PEP  Yes  No

In the case of an incorporated applicant,

I confirm that the beneficial owner(s) is/are PEPs  Yes  No

#### Source of Funds

If you have answered “Yes” to the previous question, please confirm the following:  
My/our source of funds is from (please tick as appropriate)

Income  Savings  Gift or inheritance  Proceeds of a sale

Source of funds main country of origin:

If your source of funds is not covered in any of the categories above please briefly specify them below:

**(Please complete fully as incomplete applications may be rejected)**

I/We acknowledge that the Administrator reserves the right not to issue shares/units until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address, PEP status and source of funds. I/We also acknowledge that the Administrator shall be held harmless by me/us against any loss suffered by the Administrator arising as a result of a failure to process my/our application for shares/units if such information and documentation as has been requested by the Administrator has not been provided by me/us. I also confirm that if my status changes I will alert the administrator.



## 5 DISCONTINUANCE OF THE BUSINESS RELATIONSHIP

- I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where documentation in the required format remains outstanding for 180 days from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
- I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 180 days from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
- I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.



## 6 ACCOUNT APPLICATION

### Part I - Undertakings

If this form is not fully completed to the satisfaction of the Administrator, it may not be accepted. The Administrator, acting on behalf of the Directors of the Company, reserves the right to reject a purchase order for shares in whole or part. This form must be signed by each Applicant.

i) Applicant certifies that he/she has received and read the Company's current Prospectus and the Key Information Document(s) relating to the class(es) of Shares in the Fund(s) (each a "KIID") in which he/she is applying to invest, that he/she has the authority and legal capacity to make this purchase and is of legal age in the jurisdiction of residence.

ii) Applicant understands that the terms, representations, and conditions in this application, the Prospectus and KIID(s) as amended from time to time, will apply to this account, and all purchases, redemptions and exchanges of shares are made on the basis of and subject to the current Prospectus and to the provisions of the Company's Memorandum and Articles of Association from time to time in force and that capitalized terms in this form bear the same meaning as in the Prospectus.

iii) Applicant confirms that the KIID has been provided to him / her / it at the web address: [www.waverton.co.uk](http://www.waverton.co.uk) (or such other web address as may be notified to him / her / it from time to time) (the "KIID Website") in good time before he/she/it completed this application. Applicant declares to have received, read, understood and agreed the applicable KIID at the time of the signature of this application form. Applicant specifically consents to the provision of the KIID to him/her/it in the form of the KIID Website. Applicant agrees that the Company or its delegate(s) may notify the address of KIID Website to him / her / it electronically at such e-mail address as Applicant notifies to the Company or its delegate(s) from time to time.<sup>1</sup> Applicant acknowledges and agrees that it is his/her/ its affirmative obligation to notify the Company if his/her/its e-mail address changes. The Applicant further confirms that he/she/it has been notified electronically of the KIID Website.<sup>2</sup>

iv) Applicant acknowledges and agrees that the provision of the KIID to him/her/it using the KIID Website is appropriate in the context in which the business between the Company, its delegate(s) and him/her/it is, or is to be, carried on and that the provision by him/her/it of his/her/its e-mail address to the Company or its delegate(s) is evidence of this. **The Applicant acknowledges and agrees that he/she/it have been offered the choice between being provided with the KIID on paper or by means of the KIID Website and that he/she/it have specifically chosen to be provided with the KIID by means of the KIID Website. Applicant acknowledges that he/she/it has the right to request a KIID in paper form from the Company at any time free of charge.**

v) Applicant acknowledges that the KIID shall be reviewed at least every 12 months and that the up-to-date version of the KIID at any given time shall be made available on the KIID Website. Applicant confirms that he/she/it has regular access to the internet. Applicant agrees that he/she/it will inspect the KIID by accessing the KIID Website in good time before making any subsequent and/or future subscriptions for Shares in any Class or Fund. Accordingly, Applicant acknowledges and agrees that he/she/it bears sole responsibility for ensuring that he/she/it has inspected the up-to-date version of the KIID and that, in any event, the Applicant consents to be, and shall be deemed to have been, provided with the up-to-date KIID by means of the KIID Website in good time before any such subsequent or future subscriptions.

vi) Applicant understands that personal information provided in this application will be processed by the Company and/or its delegates for the purposes of: (i) the administration of the Company (ii) carrying out statistical analysis, research and disclosure to the Company, its delegates and agents; (iii) complying with legal and regulatory obligations; (iv) any legitimate business interest of the Company; and (v) and other specific purpose to which the Applicant gives specific consent in accordance with their respective obligations under the Data protection Acts 1988 to 2018. In particular, Applicant acknowledges that such personal information will be kept on the database of the Administrator. Applicant consents to the processing of personal information as aforementioned and also to the release of such information to the Company and to service providers appointed by the Company (including service providers who may be situated outside the European Economic Area which may not have the same data protection laws as Ireland), the auditors, the Irish Revenue Commissioners pursuant to the EU Savings Directive, the Central Bank or agents of the Company/service providers who process data for anti-money laundering purposes or for compliance with foreign regulatory requirements. Applicant acknowledges



## 6 ACCOUNT APPLICATION (CONTINUED)

that in order to access or update personal information provided in this application, Applicant must contact the Administrator. From time to time, the Company, its delegates or agents (acting on behalf of the Company) may send you information about other products and services which they offer and believe may be of interest to you. You have a right not to receive such information. If you do not wish to receive marketing material from the Company, its delegates or agents, please tick the box below.

- If you do not wish to receive such information, please tick here
- If you wish to be contacted by email or text message, please tick here

vii) By opening this account and signing below, the Applicant represents and warrants that he/she/it is not a U.S. person for purposes of U.S. Federal income tax and that he/she/it is not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If your tax status changes and you become a U.S. citizen or a resident, you must notify us within 30 days.

viii) Applicant acknowledges that further subscription, redemption and exchange requests may be made by telephone and the Applicant consents to the recording of all such telephone orders. The Applicant acknowledges the risks associated with facsimile, telephone and any other electronically placed instructions and that the transmission of instructions through such means is entirely at the Applicant's risk. Unless the Company is otherwise notified in writing, all certifications, representations, warranties, acknowledgements and agreements herein shall be deemed to be re-made and reconfirmed with each order for shares, however made.

ix) Applicant understands that the Company, the Directors, each Fund, the Investment Advisor, each Sub-Investment Advisor, the Administrator, the Distributors, the Custodian and Sub-Custodian, each parent, subsidiary, affiliate or shareholder thereof, and each of the respective officers, directors, trustees, employees and agents of the foregoing shall not be liable for, and shall be fully indemnified and held harmless by Applicant from and against any and all claims, liabilities, losses, damages, costs and expenses (including without limitation attorney's fees) for acting or omitting to act upon instructions or inquiries believed genuine and/or arising as a result of any of the declarations made herein being untrue or as a result of Applicant's failure to notify the Company or Administrator of a change in status (relating to tax residency or otherwise) which would render any of the declarations contained herein untrue subsequent to the date of this application.

x) Applicant also warrants and declares that the monies being invested pursuant to this agreement do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.

xi) Applicant also declares and agrees that any further application for shares by it shall be (i) made or be deemed to be made in accordance with the then relevant documentation and (ii) understood as reiteration of all information made herein.

### Part II - Declarations and Signature

Declaration of residence outside Ireland- Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in the format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, unless specifically retracted by the applicant, 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. This declaration is subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.

**Please ensure that either sections A or B is completed. Failure to complete this section will invalidate the application.**

#### A) 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 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 the Company, in writing, accordingly.



**6 ACCOUNT APPLICATION (CONTINUED)**

**B)** Declaration as Investment Advisor/Intermediary/Nominee (Please delete as appropriate) I/we\* declare that I am/ we\* are applying for shares:

- on behalf of persons who will be beneficially entitled to the Shares;
- on behalf of persons who, to the best of my/our knowledge and belief, are neither resident nor ordinarily resident in Ireland;
- in respect of which the account will reflect (please select):
  - a Pooled Account (reflecting a pool of underlying clients typically with a generic designation such as "Clients account" or with a designation that makes reference to a region, product or multiple specific customers); or
  - a Segregated Account (a specific account for a single underlying third party)

In such case, please select either one option below:

- the designation of the account will refer to the underlying client name; or
- the designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client)

Please indicate the MIFID category under which you deal with the underlying investor(s) for this account. Please note that if you fail to indicate the category, the underlying investor(s) will be classified as Retail Client:

- Retail Client                       Professional Client                       Eligible Counterparty

Please indicate whether the account is used to transact "advised" or "execution-only" business. Per account only one type is possible. If both types of transactions are used, please be advised that two different accounts need to be created:             Advised business            or             Execution-only business

I/we\* also declare that:-

unless I/we\* specifically notify the Company 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 a person; and I/we\* will inform the Company in writing if I/we\* become aware that any person on whose behalf I/we\* hold Shares become resident in Ireland.

Investor or Authorised Signatory: (Print Name) \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

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

Joint Investor or Authorised Signatory: (Print Name) \_\_\_\_\_

Title: \_\_\_\_\_

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

If signing as an Authorised Signatory, please attach Authorised Signatory list. If joint Investors, all investors must sign, please note a maximum of 4 persons may be joint investors; please provide shareholders 3 and 4 on a separate sheet including full names, titles, signature and date.

**6 ACCOUNT APPLICATION (CONTINUED)**

**INVESTMENT ADVISOR/INTERMEDIARY DETAILS (to be completed by Investment Advisor)**

Name of Investment Advisor/Intermediary: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Contact: \_\_\_\_\_

Email: \_\_\_\_\_ Web address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

**We are regulated in:** *(insert jurisdiction)*

*by: (name of Regulator)*



**By signing this you undertake your obligations as listed in section 4.1A (IV)**

The person signing below confirms that he/she is duly authorised to sign this declaration on behalf of the above mentioned Investment Advisor/Intermediary.

**Capacity of signatory**  
(Director/Manager etc)

**Name**  
(Please print name in block capitals)

**Signature**

**Date**

**If you work on a sub-advisory basis, please tell us who you sub-advise to:**

## 7 ENTITY SELF-CERTIFICATION

### 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 Residential Address\*:

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

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

Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

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

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

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

Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

**7 ENTITY SELF CERTIFICATION (CONTINUED)**

**SECTION 2: 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 and 4)

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. Irish Financial Institution or a Partner Jurisdiction Financial Institution
- II. Registered Deemed Compliant Foreign Financial Institution
- III. Participating Foreign Financial Institution

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

- II. Exempt Beneficial Owner
- III. Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
- IV. Non-Participating Foreign Financial Institution
- V. Excepted Foreign Financial Institution

**7 ENTITY SELF CERTIFICATION (CONTINUED)**

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

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

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

**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. *Financial Institution under CRS* (other than (II) below)
- II. *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 \*\*)

**5.2 Non Financial Institutions under CRS:**

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

- 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
- II. *Active Non-Financial Entity* – a Government Entity or Central Bank

**7 ENTITY SELF CERTIFICATION (CONTINUED)**

- III. *Active Non-Financial Entity* – an International Organisation
- IV. *Active Non-Financial Entity* – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)
- V. *Passive Non-Financial Entity* (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s))

**\*\*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: DECLARATION 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)\*:

\_\_\_\_\_

## 8 INDIVIDUAL SELF CERTIFICATION

### 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 Code: \_\_\_\_\_ Country: \_\_\_\_\_

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

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

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

Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### Place of Birth

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

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

**8 INDIVIDUAL SELF CERTIFICATION (CONTINUED)**

**SECTION 2: 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:

\_\_\_\_\_

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 choose 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



**8 INDIVIDUAL SELF CERTIFICATION (CONTINUED)**

**Please confirm what type of Controlling Person applicable under CRS that applies to you/the investor 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 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(s)\*: \_\_\_\_\_

Print Name(s)\*: \_\_\_\_\_

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

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

**9 ULTIMATE BENEFICIAL OWNERSHIP FORM**

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

**NOTES TO HELP WITH COMPLETION**

1. Please ensure the form is fully completed and, in the case of a corporate entity, please sign in accordance with the authorised signatory list.
2. Please note this form does not need to be completed by entities regulated for AML purposes in Irish prescribed Jurisdictions.
3. Individual investors only need to complete this form if monies for the investment are coming from a joint bank account and the second person has not signed the subscription document.
4. For all other investments, please complete either A or B as applicable and sign below:

For all other investments, please tick either A or B as applicable and sign below:

- A. There are **no** Ultimate Beneficial Owners owning 25% or more at this time
- B. The Ultimate Beneficial Owner(s) owning 25% or more are known at this time

**If you have ticked (B) please provide details of the Ultimate Beneficial Owner(s) below:**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

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

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

Postal Code: \_\_\_\_\_ Country: \_\_\_\_\_

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

Nationality: \_\_\_\_\_

% Holding \_\_\_\_\_

**9 ULTIMATE BENEFICIAL OWNERSHIP FORM (CONTINUED)**

Please return this form duly completed with the subscription document.

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

Signed by: \_\_\_\_\_

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

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

Signed by: \_\_\_\_\_

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

**Note: CACEIS Ireland Limited will be unable to place a subscription trade until the Ultimate Beneficial Owners have been confirmed.**

**10 GENERAL DATA PROTECTION REGULATION (“GDPR”)**

**INTRODUCTION**

The GDPR will replace the current Data Protection Directive 95/46/EC. The purpose of GDPR is to harmonise European Union data privacy laws and to enhance the standard of data protection across all EU member states. GDPR will become effective from 25 May 2018.

By completing the application form for the Company at the time you subscribed you have provided personal information, which may constitute “personal data” within the meaning of the Irish Data Protection Acts 1988 and 2003, the EU Data Protection Directive 95/46/EC, the EU ePrivacy Directive 2002/58/EC (as amended) and any relevant transposition of, or successor or replacement to, those laws (including, when they come into force, the General Data Protection Regulation (Regulation (EU) 2016/679) and the successor to the ePrivacy Directive) (together, the “Data Protection Legislation”).

Investors’ personal data will be used by the Company for the following purposes:

1. to manage and administer an investor’s holding in the Company and any related accounts on an ongoing basis in accordance with the contract between the investor and the Company;
2. to carry out statistical analysis and market research as the Company’s legitimate business interest;
3. to comply with legal and regulatory obligations applicable to the investor and the Company from time to time including applicable anti-money laundering and counter terrorist financing legislation. In particular, in order to comply with the Common Reporting Standard (as implemented in Ireland by Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections) and FATCA, Shareholders’ personal data (including financial information) may be shared with the Irish Revenue Commissioners. They in turn may exchange information (including personal data and financial information) with foreign tax authorities (including the U.S. Internal Revenue Service and foreign tax authorities located outside the European Economic Area). Please consult the AEOI (Automatic Exchange of Information) webpage on [www.revenue.ie](http://www.revenue.ie) for further information in this regard; and
4. for any other specific purposes where the investor has given specific consent.

Investors’ personal data may be disclosed by the Company to its delegates, professional advisors, service providers, regulatory bodies, auditors, technology providers and any duly authorised agents or related, associated or affiliated companies of the foregoing for the same or related purposes.

Investors’ personal data may be transferred to countries which may not have the same or equivalent data protection laws as Ireland. If such transfer occurs, the Company is required to ensure that such processing of investors’ personal data is in compliance with Data Protection Legislation and, in particular, that appropriate measures are in place such as entering into model contractual clauses (as published by the European Commission) or ensuring that the recipient is “Privacy Shield” certified, if appropriate. For more information on the means of transfer of investors’ personal data or a copy of the relevant safeguards, please contact [Reporting@BridgeFSConsulting.ie](mailto:Reporting@BridgeFSConsulting.ie).

Pursuant to the Data Protection Legislation, investors have a number of rights which may be exercised in respect of their personal data, i.e.:

1. the right of access to personal data held by the Company;
2. the right to amend and rectify any inaccuracies in personal data held by the Company;
3. the right to erase personal data held by the Company;
4. the right to data portability of personal data held by the Company; and
5. the right to request restriction of the processing of personal data held by the Company;
6. and the right to object to processing of personal data by the Company.

These rights will be exercisable subject to limitations as provided for in the Data Protection Legislation. In certain circumstances it may not be feasible for the Company to discharge these rights, for example because of the structure of the Company or the manner in which the Shareholder holds Shares in the Company. Investors may make a request to the Company to exercise these rights by contacting [Reporting@BridgeFSConsulting.ie](mailto:Reporting@BridgeFSConsulting.ie).

Please note that personal data may be retained by the Company for the duration of an investor’s investment and afterwards in accordance with the Company’s legal and regulatory obligations, including but not limited to the Company’s record retention policy.

The Company is a data controller within the meaning of the Data Protection Legislation and undertakes to hold any personal information provided by investors in confidence and in accordance with the Data Protection Legislation. If you have any queries, requests or comments in respect of this notice or the way in which the Company uses investors’ personal data, please contact [Reporting@BridgeFSConsulting.ie](mailto:Reporting@BridgeFSConsulting.ie). Investors have the right to lodge a complaint with the Office of the Irish Data Protection Commissioner if they are dissatisfied with the manner in which their personal data is used by the Company.