

## **Application Form**

### **Brookfield Investment Funds (UCITS) PLC (the “Fund”)**

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

Administrator:  
**Brookfield Investment Funds (UCITS) Plc C/o**  
**CACEIS Ireland Limited**  
**4<sup>th</sup> Floor**  
**One George’s Quay Plaza**  
**George’s Quay**  
**Dublin 2**  
**Ireland**  
**Telefax: 353 1 6130401**  
**Telephone: 353 1 4406555**

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

Please note that the original fully signed Application Form must be returned to the Administrator appointed by the Fund at the above address if this is your first investment in Shares of the Fund. No payments and 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. Applicants should complete **all** sections in full, including Appendix 1 regarding Eligible Introducer Confirmation, Appendix 2 regarding FATCA and CRS Classification, and in that regard please note the related Customer Information Notice at Appendix 3, Appendix 4 requiring that Irish resident applicants provide an Irish Tax Identification Number and Appendix 5 regarding UK Regulatory Restrictions on Paying commission, if relevant. Applicants should read and note the Privacy Notice as set out in Appendix 6. Applicants should also ensure that the application is signed by the applicant(s) and/or appropriate authorised signatories on page 17.

## 1. Investment Details

We the undersigned having received and read a copy of the Prospectus of the Fund hereby apply to subscribe for a number of Shares as may be subscribed for an aggregate amount of USD/EUR (*please circle one*)

\_\_\_\_\_ and undertake to settle therefore in full by telegraphic transfer no later than 5pm (Dublin Time) on the third Business Day after the subscription date:

Sub-Fund & Class	ISIN	Fund Code	Cash Amount
Brookfield Global Listed Real Estate UCITS Fund Euro Institutional Hedged Accumulation Shares Class A	IE00B4LLOZ46	BF1	
Brookfield Global Listed Real Estate UCITS Fund Euro Institutional Unhedged Accumulation Shares Class B	IE00B6V9B591	BF2	
Brookfield Global Listed Real Estate UCITS Fund US Dollar Institutional Accumulation Shares Class E	IE00B3PPN902	BF5	
Brookfield Global Listed Real Estate UCITS Fund US Dollar Institutional Distribution Shares Class F	IE00BBM4RY97	BF6	
Brookfield Global Listed Real Estate UCITS Fund Euro RDR Retail Hedged Accumulation Shares Class I	IE00BYSXVL65	B08	
Brookfield Global Listed Real Estate UCITS Fund US Dollar Non-RDR Retail Accumulation Shares Class V	IE00BYSXVR28	B09	
Brookfield Global Listed Real Estate UCITS Fund US Dollar Non-RDR Retail Distribution Share Class W	IE00BJK0MQ28	BM3	
Brookfield Global Listed Real Estate UCITS Fund Sterling Institutional Hedged Accumulation Class Z	IE00BYX2Y197	BM2	
Brookfield Global Listed Real Estate UCITS Fund Sterling Institutional Hedged Distribution Class AA	IE00BYX2QB39	BM1	
Brookfield Real Assets Securities UCITS Fund US Dollar Institutional Accumulation Shares Class E	IE00BYY9RD29	441	
Brookfield Real Assets Securities UCITS Fund Euro Non-RDR Retail Unhedged Accumulation Shares Class T	IE00BKT6ZS16	BM4	
Brookfield Real Assets Securities UCITS Fund US Dollar Negotiable Accumulation Shares Class XD	IE000B024RA2	BM5	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Euro Institutional Unhedged Accumulation Shares Class B	IE00BMZ7WL42	BFB	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund US Dollar Institutional Accumulation Shares Class E	IE00BKVDGT87	BFA	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund US Dollar Non-RDR 'Retail' Accumulation Shares Class V	IE00BN7CJ137	BFC	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund US Dollar Institutional Distribution Shares Class F	IE00BKY81F10	BFF	
Brookfield Global Listed Core Infrastructure UCITS Fund Euro Institutional Unhedged Accumulation Shares Class B	IE0006CAPG05	BBF	
Brookfield Global Listed Core Infrastructure UCITS Fund US Dollar Institutional Accumulation Shares Class E	IE000KP29X65	BB7	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Sterling 'Institutional' Unhedged Accumulation Share Class G	IE0000R7B2A1	BFH	
Brookfield Global Listed Core Infrastructure UCITS Fund Sterling 'Institutional' Unhedged Accumulation Share Class G	IE000JTDGX31	BBK	
Brookfield Global Listed Core Infrastructure UCITS Fund Sterling RDR 'Retail' Accumulation Share Class O	IE000MVC7XO2	BBM	

Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Sterling RDR 'Retail' Accumulation Share Class O	<b>IE0000LUI412</b>	<b>BBO</b>	
Brookfield Global Listed Core Infrastructure UCITS Fund Euro RDR 'Retail' Hedged Accumulation Shares Class I	<b>IE0007B3IZ27</b>	<b>BBB</b>	
Brookfield Global Listed Core Infrastructure UCITS Fund US Dollar Non-RDR 'Retail' Accumulation Shares Class V	<b>IE000MW4ECO7</b>	<b>BBN</b>	
Brookfield Global Listed Core Infrastructure UCITS Fund US Dollar Non-RDR 'Retail' Distribution Shares Class W	<b>IE000RY9QX73</b>	<b>BBP</b>	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Euro RDR 'Retail' Hedged Accumulation Shares Class I	<b>IE0009TNZ1R5</b>	<b>BFI</b>	
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund US Dollar Non-RDR 'Retail' Distribution Shares Class W	<b>IE000NEG8OQ0</b>	<b>BFL</b>	
Brookfield Global Listed Core Infrastructure UCITS Fund Sterling Unhedged Accumulation Shares Class FP	<b>IE000AN5EB01</b>		
Brookfield Global Listed Core Infrastructure UCITS Fund Swiss Franc Hedged Accumulation Shares Class FF	<b>IE000XQWY0C1</b>		
Brookfield Global Listed Core Infrastructure UCITS Fund US Dollar Unhedged Accumulation Shares Class FD	<b>IE0000CI1MZ8</b>		
Brookfield Global Listed Core Infrastructure UCITS Fund Euro Unhedged Accumulation Shares Class FE	<b>IE000Y920DD8</b>		
Brookfield Global Listed Core Infrastructure UCITS Fund Euro Hedged Accumulation Shares Class Feh	<b>IE000HMPAMP9</b>		
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Sterling Unhedged Accumulation Shares Class FP	<b>IE000LIQRTY8</b>		
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Swiss Franc Hedged Accumulation Shares Class FF	<b>IE000L221DV8</b>		
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund US Dollar Unhedged Accumulation Shares Class FD	<b>IE000UK7PVU7</b>		
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Euro Unhedged Accumulation Shares Class FE	<b>IE000A8N4WY2</b>		
Brookfield Global Renewables and Sustainable Infrastructure UCITS Fund Euro Hedged Accumulation Shares Class Feh	<b>IE000OB45DQ4</b>		

## 2. Details of Applicant(s)

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

<b>First Applicant</b>										
<b>Individuals: 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		
Occupation										
Business Area	<input type="checkbox"/> Bar/Night-clubs/Restaurants/Hotels <input type="checkbox"/> Brokers <input type="checkbox"/> Car parks <input type="checkbox"/> Casinos/Gambling <input type="checkbox"/> Casinos/Games/Entertainment parks <input type="checkbox"/> Check cashers <input type="checkbox"/> Commerce of alcohol and cigarettes <input type="checkbox"/> Commerce of arms/Weapons and munitions <input type="checkbox"/> Commerce of art works <input type="checkbox"/> Commerce of boats and planes <input type="checkbox"/> Commerce of luxury cars <input type="checkbox"/> Commerce of luxury goods (jewellery/horses) <input type="checkbox"/> Commerce of minerals <input type="checkbox"/> Convenience store <input type="checkbox"/> Hotels/Restaurants/Cafes <input type="checkbox"/> Import-Export <input type="checkbox"/> Money transmitters and currency change <input type="checkbox"/> Nuclear <input type="checkbox"/> On-line business <input type="checkbox"/> Precious metals/Gold/Jewellery <input type="checkbox"/> Real estate <input type="checkbox"/> Sale by distance <input type="checkbox"/> Taxi <input type="checkbox"/> Travel agencies <input type="checkbox"/> Travel/Tourism <input type="checkbox"/> Other (please specify):									
Employer/Business Name (if self-employed)										

**Corporate Applicants:**

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

**Registered Address<sup>1</sup>**

Address			
City/Town			
Post Code		Country	
Email Address			
Tel No		Fax No	

**Correspondence Address<sup>2</sup>**

**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	

**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										
Nationality***										
Occupation										
Business Area	<input type="checkbox"/> Bar/Night-clubs/Restaurants/Hotels <input type="checkbox"/> Brokers <input type="checkbox"/> Car parks <input type="checkbox"/> Casinos/Gambling <input type="checkbox"/> Casinos/Games/Entertainment parks <input type="checkbox"/> Check cashers <input type="checkbox"/> Commerce of alcohol and cigarettes <input type="checkbox"/> Commerce of arms/Weapons and munitions <input type="checkbox"/> Commerce of art works <input type="checkbox"/> Commerce of boats and planes <input type="checkbox"/> Commerce of luxury cars <input type="checkbox"/> Commerce of luxury goods (jewellery/horses) <input type="checkbox"/> Commerce of minerals <input type="checkbox"/> Convenience store <input type="checkbox"/> Hotels/Restaurants/Cafes <input type="checkbox"/> Import-Export <input type="checkbox"/> Money transmitters and currency change <input type="checkbox"/> Nuclear <input type="checkbox"/> On-line business <input type="checkbox"/> Precious metals/Gold/Jewellery <input type="checkbox"/> Real estate <input type="checkbox"/> Sale by distance <input type="checkbox"/> Taxi <input type="checkbox"/> Travel agencies <input type="checkbox"/> Travel/Tourism <input type="checkbox"/> Other (please specify):									
Employer/Business Name (if self-employed)										

**Second additional applicant details**

Title	Mr		Mrs		Miss		Ms		Other (please specify)	
Surname										
Forename(s) in full										
Nationality***										
Occupation										

Business Area	<input type="checkbox"/> Bar/Night-clubs/Restaurants/Hotels <input type="checkbox"/> Brokers <input type="checkbox"/> Car parks <input type="checkbox"/> Casinos/Gambling <input type="checkbox"/> Casinos/Games/Entertainment parks <input type="checkbox"/> Check cashers <input type="checkbox"/> Commerce of alcohol and cigarettes <input type="checkbox"/> Commerce of arms/Weapons and munitions <input type="checkbox"/> Commerce of art works <input type="checkbox"/> Commerce of boats and planes <input type="checkbox"/> Commerce of luxury cars <input type="checkbox"/> Commerce of luxury goods (jewellery/horses) <input type="checkbox"/> Commerce of minerals <input type="checkbox"/> Convenience store <input type="checkbox"/> Hotels/Restaurants/Cafes <input type="checkbox"/> Import-Export <input type="checkbox"/> Money transmitters and currency change <input type="checkbox"/> Nuclear <input type="checkbox"/> On-line business <input type="checkbox"/> Precious metals/Gold/Jewellery <input type="checkbox"/> Real estate <input type="checkbox"/> Sale by distance <input type="checkbox"/> Taxi <input type="checkbox"/> Travel agencies <input type="checkbox"/> Travel/Tourism <input type="checkbox"/> Other (please specify):
Employer/Business Name (if self-employed)	

Third additional applicant details									
Title	Mr		Mrs		Miss		Ms	Other (please specify)	
Surname									
Forename(s) in full									
Nationality***									
Occupation									

Business Area	<input type="checkbox"/> Bar/Night-clubs/Restaurants/Hotels <input type="checkbox"/> Brokers <input type="checkbox"/> Car parks <input type="checkbox"/> Casinos/Gambling <input type="checkbox"/> Casinos/Games/Entertainment parks <input type="checkbox"/> Check cashers <input type="checkbox"/> Commerce of alcohol and cigarettes <input type="checkbox"/> Commerce of arms/Weapons and munitions <input type="checkbox"/> Commerce of art works <input type="checkbox"/> Commerce of boats and planes <input type="checkbox"/> Commerce of luxury cars <input type="checkbox"/> Commerce of luxury goods (jewellery/horses) <input type="checkbox"/> Commerce of minerals <input type="checkbox"/> Convenience store <input type="checkbox"/> Hotels/Restaurants/Cafes <input type="checkbox"/> Import-Export <input type="checkbox"/> Money transmitters and currency change <input type="checkbox"/> Nuclear <input type="checkbox"/> On-line business <input type="checkbox"/> Precious metals/Gold/Jewellery <input type="checkbox"/> Real estate <input type="checkbox"/> Sale by distance <input type="checkbox"/> Taxi <input type="checkbox"/> Travel agencies <input type="checkbox"/> Travel/Tourism <input type="checkbox"/> Other (please specify):
Employer/Business Name (if self-employed)	

<sup>1</sup> This address should be the address of the registered holder e.g. the nominee's address if Shares 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 Administrator for the purposes of applying for Shares in the Fund and you are acknowledging that this data will be used for the purposes of administration, analysis, research and disclosure to the Fund its delegates and agents, as more fully described in the Privacy Notice at Appendix 6.

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.

\*\*\* Nationality – please provide details of any dual citizenship held or previously held:

Passport Number:

Issuing Country:

Expiry Date:



### 3. Bank Details

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

All subscription payments must be made by electronic funds transfer to the relevant account detailed below. Subscription monies must be received by the Administrator, for the account of the Fund, no later than 5 pm, Dublin Time, the third Business Day after the relevant Subscription Date on which Shares are to be issued.

Settlement must be made in the designated currency of the Class in which you are investing.

#### EUR subscriptions banking details

Intermediary Bank:

SWIFT:

Beneficiary Bank: CACEIS Bank Ireland Branch

SWIFT: ISAEIE2D (via Target II)

Final Beneficiary: Brookfield Investment Fund (Ucits) Plc Collection Account

IBAN number: **IE68ISAE99032500017364**

Ref: Investor name and transaction no. (see contract note)

#### USD subscriptions banking details

Intermediary Bank: JP Morgan Chase

SWIFT: CHASUS33

Beneficiary Bank: CACEIS Bank Ireland Branch

SWIFT: ISAEIE2D

Final Beneficiary: Brookfield Investment Fund (Ucits) Plc Collection Account

IBAN number: **IE84ISAE99032500017367**

Ref: Investor name and transaction no. (see contract note)

#### GBP subscriptions banking details

Intermediary Bank: HSBC Bank Plc Intl.

SWIFT: MIDLGB22

Beneficiary Bank: CACEIS Bank Ireland Branch

SWIFT: ISAEIE2D

Final Beneficiary: Brookfield Investment Fund (Ucits) Plc Collection Account

IBAN number: **IE57ISAE99032500017368**

Ref: Investor name and transaction no. (see contract note)

**CHF subscriptions banking details**

Intermediary Bank: UBS, Zurich  
 SWIFT: UBSWCHZH80A  
 Beneficiary Bank: CACEIS Bank Ireland Branch  
 SWIFT: ISAEIE2D  
 Final Beneficiary: Brookfield Investment Fund (Ucits) Plc Collection Account  
 IBAN number: **IE14ISAE99032500017366**  
 Ref: *Investor name and transaction no. (see contract note)*

**JPY subscriptions banking details**

Intermediary Bank: The Hongkong and Shanghai Banking Corp. Ltd, Tokyo Branch  
 SWIFT: HSBCJPJT  
 Beneficiary Bank: CACEIS Bank Ireland Branch  
 SWIFT: ISAEIE2D  
 Final Beneficiary: Brookfield Investment Fund (Ucits) Plc Collection Account  
 IBAN number: **IE41ISAE99032500017365**  
 Ref: *Investor name and transaction no. (see contract note)*

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

The below details are mandatory and are related to the bank and accounts from which the subscription amounts will be paid. The account must be in the name(s) of the Account Holder(s) or the account holder must be identified. 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:	

In the case that payments are made through a correspondent bank, please provide the following information:

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

Please note that 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, we require the following information to be included for all subscription wires made to the Fund.

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

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
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)

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

**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 returned to an account held in the name of the registered Shareholder(s).

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

Under Irish legislation covering anti-money laundering and counter terrorist financing the Fund 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.**

**All applicants must also complete the relevant sections at Appendix 7 (AML Information) of this Application Form.**

**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:

Entity Type	Documentation requirements
<b>Individual/ Joint Account</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Copy of photo ID for each account holder.</li> <li>• Copy of proof of address for each account holder – <b>This should include a bank statement showing the account from which subscription monies will be sent.</b></li> </ul>
<b>Credit and Financial Institution/ Bank (Proprietary Money)</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Copy authorised signatory list.</li> <li>• Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> </ul>
<b>Credit and Financial Institution/ Bank (underlying client Monies)</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Copy authorised signatory list.</li> <li>• AML Comfort Letter A at Appendix 1 and Wolfsberg questionnaire.</li> <li>• Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> </ul>
<b>Nominee ( subsidiary) of regulated financial Institutions/ Bank</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Copy authorised signatory list.</li> <li>• AML Comfort Letter B at Appendix 1 and Wolfsberg questionnaire.</li> <li>• Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> </ul>

<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Copy of Trust Deed &amp; List of trustees (if not contained in Trust Deed)</li> <li>• Copy of authorised signatory list.</li> <li>• Copy of ID and 1 x proof of address for all trustees.</li> <li>• Copy of ID and 1 x proof of address for all settlors.</li> <li>• Copy of ID and 1 x proof of address for all protectors.</li> <li>• Copy of ID and proof of address for any trust beneficiary (current or potential) not included in the above list.</li> <li>• Copy of bank statement in name of Trust from which subscription monies will be sent.</li> </ul>
<b>Pension scheme- Employer contributions</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow</li> <li>• Copy of authorised signatory list</li> <li>• Copy of constitutive document</li> <li>• Copy of controllers register</li> <li>• Copy of ID and 1 x proof of address for 2 x controllers</li> <li>• Copy of most recent audited financial report</li> <li>• Copy of bank statement in name of pension scheme from which subscription monies will be sent.</li> </ul>
<b>Pension scheme- private</b>	<ul style="list-style-type: none"> <li>• Copy application form with AML appendix completed - original to follow</li> <li>• Copy of authorised signatory list</li> <li>• Copy of constitutive document</li> <li>• Copy of controllers register</li> <li>• Copy of ID and 1 x proof of address for 2 x controllers</li> <li>• Copy of most recent audited financial report</li> <li>• Copy of ID and proof of address for beneficiary</li> <li>• Source of funds and source of wealth*** for beneficiary.</li> <li>• Copy of bank statement in name of pension scheme from which subscription monies will be sent.</li> </ul>
<b>Collective Investment Scheme/ Fund</b>	<ul style="list-style-type: none"> <li>• Copy application form with all required information - original to follow.</li> <li>• Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> <li>• Copy of fund prospectus (obtained independently).</li> <li>• Copy of constitutive documents.</li> <li>• Copy of most recent audited financial report.</li> <li>• Copy of authorised signatory list.</li> <li>• Copy of Directors register.</li> <li>• Copy of ID and 1 x proof of address for 2 x Directors.</li> <li>• Copy of ID and 1 x proof of address for any ultimate beneficial owner owning more than 25% of the funds shareholding.</li> <li>• Copy of declaration of type of investors and geographic location of investor base.</li> <li>• Copy of bank statement in name of collective investment scheme from which subscription monies will be sent.</li> </ul>

<b>Corporate ( private)</b>	<ul style="list-style-type: none"> <li>● Copy application form with all required information- original to follow.</li> <li>● Copy of authorised signatory list.</li> <li>● Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> <li>● Copy of certificate of incorporation/ proof of business formation / registration or equivalent.</li> <li>● Copy of memorandum and articles of association.</li> <li>● Copy of Directors/ Board members register.</li> <li>● Copy of share register.</li> <li>● Copy of ID and 1 x proof of address for 2 x Directors or 1 Director and 1 authorised signatory.</li> <li>● Copy of ID and 1 x proof of address for shareholders.</li> <li>● Copy of bank statement in name of corporation from which subscription monies will be sent.</li> </ul>
<b>Corporate (commercial)</b>	<ul style="list-style-type: none"> <li>● Copy application form with all required information- original to follow.</li> <li>● Copy of authorised signatory list.</li> <li>● Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> <li>● Copy of constitutive document.</li> <li>● Copy of most recent audited financial report.</li> <li>● Copy of shareholder register or confirmation of listed status (if listed on stock exchange).</li> <li>● Copy of Directors/ Board members register.</li> <li>● Copy of ID and 1 x proof of address for 2 x Directors or 1 Director and 1 authorised signatory.</li> <li>● Copy of ID and 1 x proof of address for shareholders.</li> <li>● Copy of bank statement in name of corporation from which subscription monies will be sent.</li> </ul>
<b>Foundation/Association</b>	<ul style="list-style-type: none"> <li>● Copy application form with all required information- original to follow.</li> <li>● Copy of authorised signatory list.</li> <li>● Recent and up-to-date extract from the companies register (or equivalent supporting document)(copy or extract from accepted website); the following information shall be gathered from this document: <ul style="list-style-type: none"> <li>▪ exact and complete company name/denomination;</li> <li>▪ legal form;</li> <li>▪ address;</li> <li>▪ directors.</li> </ul> </li> <li>● Copy of constitutive document.</li> <li>● Copy of most recent audited financial report.</li> <li>● Copy of controllers register.</li> <li>● Certified true copy of ID and 1 x proof of address for all controllers.</li> <li>● Confirmation of Not for Profit Status (usually contained in constitutive doc)</li> <li>● Copy of bank statement in name of foundation/ association from which subscription monies will be sent.</li> </ul>

If your entity type is not listed above, please contact the Administrator and they will advise as to what documentation is required.

\*\*\* Source of wealth template available from CACEIS upon request.

## 5. Declarations and Signatures

### By signing below:

1. I/We hereby acknowledge that I/we have received and considered the Prospectus of the Fund and the Supplement relating to the relevant Sub-Fund and/or Class in which investment is proposed to be made, and the Privacy Notice of the Fund as set out in Appendix 6 to this Application Form, and this Application is made on the terms thereof and subject to the provisions of the Memorandum and Articles of Association constituting the Fund and this Application Form, as amended from time to time.
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 Fund 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; or (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 politically exposed person; (d) any person who is the equivalent of a spouse under the national law of the place where the politically exposed person resides; (e) any cohabitant; (f) any child or parent of the politically exposed person or spouse of the child of the politically exposed person; and (g) any other family member who is of a prescribed class.

5. I/We agree to provide to the Fund or its appointed Administrator or Distributor any additional documentation or information, including without limitation that required in Appendix 2 to this application form, that it or they may require to verify my/our identity in accordance with current or future anti-money laundering/terrorist financing, legislation or regulation implementing the Common Reporting Standard ("CRS") and/or the Foreign Account Tax Compliance Act ("FATCA") and or any other tax reporting obligations under legislation or regulation. 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 Fund 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<sup>1</sup> (or a person to whom FATCA applies) and certify that the Shares applied for are not being acquired for the benefit of, directly or indirectly, any US Person (or a person to whom FATCA applies) nor in violation of any applicable law or regulation, and I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares to a US Person (or a person to whom FATCA applies) or any person in violation of any applicable law or regulation, including FATCA.
7. The Fund, the Distributor, and the Administrator of the Fund are hereby authorised to accept and execute any instructions in respect of the Shares 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 Fund 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 Fund, 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 Fund, 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 Fund, 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 Fund immediately if any of the representations herein made are no longer accurate and complete in all respects.
9. I/We acknowledge that if subscription payment in full has not been received by the relevant times stipulated in the Prospectus of the Fund, the Fund and/or the Investment Manager may cancel the allotment and I/We agree to hereby indemnify and hold harmless the Fund, the Directors, the Investment Manager, the Administrator and the Custodian for any loss, cost or expense suffered by them as a result of my/our failure to pay the subscription monies by the relevant time.
10. I/We agree to provide to the Fund, 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 Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect which such confirmations have become incomplete or inaccurate if requested to do so by the Fund. I/we agree to notify the Fund of any change to my/our tax residency status.
11. I/we understand that all/part of fees and expenses may be charged to the capital of the Fund and that this will have the effect of lowering the capital value of my/our investment. Thus, on redemptions of holdings, I/we may not receive back the full amount invested.
12. I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Shares by me/us in the Fund.
13. (In respect of joint applicants only) we direct that on the death of one of us the Shares for which we hereby apply to be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last survivor.
14. I/We hereby acknowledge that any notice or document may be served by the Fund 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 Fund 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 Fund 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 Fund 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 Fund of written notice of such revocation.
15. 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 Shares.
16. 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 Shares held by us in the Fund. (For corporate applicants only.)

---

<sup>1</sup> If the Applicant(s) are resident or ordinarily resident for the purposes of tax in Ireland, please ensure that an Irish tax reference number is provided at Appendix 3 to this Subscription Form.

**17. Data Protection/Direct Marketing**

I/we have read the Privacy Notice set out in Appendix 6 to this Application Form.

From time to time, the Fund, or its service providers acting on behalf of the Fund, would like to contact you in respect of products or services provided by the Fund which we think would be of interest to you.

If you do not wish to be contacted by landline phone, post, email, or text message, please let us know by ticking the relevant box below:

Please do not contact me by: post ☐ landline phone ☐ email ☐ text message ☐

**18. Declaration of residence outside the Republic of Ireland**

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

*Please tick a) or b)*

*Either:*

**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 you, in writing, accordingly.

**or**

**b) ☐ Declaration as Intermediary**

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

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

I/We\* also declare that:

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

*\* 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.

If your residence status changes at any time during the lifetime of this investment, please advise the Administrator immediately.

## 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




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

- Non-resident declarations are subject to inspection by the 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 Revenue Commissioners.
- To be valid, the application form (incorporating the declaration required by the 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.
- 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.
- "Intermediary" means a person who:
  - 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
  - hold shares in an investment undertaking on behalf of other persons.
- The Fund is regulated in Ireland by the Central Bank of Ireland.
- Investors should not complete this Application Form until they have read the key investor information document (as required under Regulation (EU) No 1286/2014 of the European Parliament and of the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs), as may be amended or supplemented from time to time) relating to this investment.
- Copies of the most recently published annual and semi-annual reports of the Fund are available free of charge from the registered office of the Fund.
- 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.
- 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

#### AML Comfort Letter A

CACEIS Ireland Limited  
4th Floor, One George's Quay Plaza,  
George's Quay,  
Dublin 2  
Ireland

[date]

Re: Anti-Money Laundering Assurance Letter

Dear Sirs

We [insert name of Investor] with a registered office at [insert address] confirm that we are regulated by [insert Regulator] and apply anti-money laundering / counter-terrorist financing policies and procedures which are in line with those of local anti-money laundering legislation and regulation which in turn comply with measures detailed in Directive (EU) 2015/849 and any other related EU legislation ("AML Procedure").

The Company has policies and procedures in place to:

1. Identify our underlying clients and the beneficial owners and will retain sufficient information on file to verify the identity of all such clients and beneficial owners
2. obtain information on directors (legal persons) or persons exercising similar positions (for legal arrangements)
3. collect relevant information in respect of the purpose and intended nature of the business relationship;
4. gather and record information about the origin of the client's funds;
5. monitor the business relationship throughout the course of the relationship;
6. Identify that none of our underlying clients are a foreign shell bank.
7. Identify politically exposed persons ("PEPs") and immediate family members and close associates of PEPs to the extent that we have reason to know that any investors are PEPs, we have performed enhanced due diligence
8. Will provide CACEIS with documentation, upon request and without delay, of all necessary documents and information related to clients and the beneficial owners which we have on our files.
9. verify when establishing a business relationship and on a regular basis that client(s) are not subject to restrictive measures or sanctions as published by the United Nations Security Council, Office of Foreign Assets Control (the "OFAC") and/or the European Union.

We confirm that we undertake to retain such investor identification documentation and information for a period of at least five years after the relationship with the Investor has ceased;

We hereby undertake that we will notify CACEIS IS immediately of any concerns or suspicions that we may have in connection with investors in the context of any applicable anti-money laundering or terrorist financing legislation/regulations.

Yours Sincerely

Name:  
Title:

\_\_\_\_\_  
Authorised Signatory  
for and on behalf of  
[insert name]

Name:  
Title:

\_\_\_\_\_  
Authorised Signatory  
for and on behalf of  
[insert name]

## AML Comfort Letter B

### [LETTERHEAD OF THE PARENT COMPANY]

CACEIS Ireland Limited  
4<sup>th</sup> Floor, One George's Quay Plaza,  
George's Quay,  
Dublin 2  
Ireland

Date:

Re: [insert name of the regulated parent company]

Dear Sirs

We [insert name of parent company] , parent company of [insert name of subsidiary] have a registered office at [insert address].

We confirm that we are regulated by [insert Regulator] and apply anti-money laundering / counter-terrorist financing policies and procedures which are in line with those of local anti-money laundering legislation and regulation which in turn comply with measures detailed in EU Directive 2005/60/EC and any other related EU legislation

We herewith confirm that [ insert name of subsidiary] is used to keep the assets of some of our clients. Furthermore, we confirm that our subsidiary is required to apply the same AML policies which are in line with the regulatory obligations of the parent company.

The Company has policies and procedures in place to:

1. Identify our underlying clients and the beneficial owners and will retain sufficient information on file to verify the identity of all such clients and beneficial owners;
2. obtain information on directors (legal persons) or persons exercising similar positions (for legal arrangements);
3. collect relevant information in respect of the purpose and intended nature of the business relationship;
4. gather and record information about the origin of the client's funds;
5. monitor the business relationship throughout the course of the relationship;
6. Identify that none of our underlying clients are a foreign shell bank;
7. Identify politically exposed persons ("PEPs") and immediate family members and close associates of PEPs to the extent that we have reason to know that any investors are PEPs, we have performed enhanced due diligence;
8. Will provide CACEIS with documentation, upon request and without delay, of all necessary documents and information related to clients and the beneficial owners which we have on our files. We will provide any such reasonable assistance as CACEIS may request where a suspicion of money laundering \ terrorist financing by an Investor exists;
9. verify when establishing a business relationship and on a regular basis that client(s) are not subject to restrictive measures or sanctions as published by the United Nations Security Council, Office of Foreign Assets Control (the "OFAC") and/or the European Union.

We confirm that we undertake to retain such investor identification documentation and information for a period of at least five years after the relationship with the Investor has ceased;

Yours Sincerely

\*Name:  
Title:

Name:  
Title:

\*Letter must be signed by parent company

## Appendix 2

### CRS AND FATCA

#### **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:

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



## **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.	An <i>Investment Entity</i> located in a <i>Non-Participating Jurisdiction</i> and managed by another <i>Financial Institution</i> (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.	<i>Active Non-Financial Entity</i> – 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.	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank	
III.	<i>Active Non-Financial Entity</i> – an International Organisation	
IV.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	<i>Passive Non-Financial Entity</i> (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: 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\*: \_\_\_\_\_

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

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

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

## **Appendix 3**

### **CRS Customer Information Notice**

The CRS was developed by the OECD as a new global standard for the automatic exchange of information between tax authorities in participating jurisdictions. A Multilateral Competent Authority Agreement was signed on 29 October 2014 in Berlin at the Global Forum on Transparency and Exchange of Information which will implement CRS in more than 90 jurisdictions, including Ireland. Under the CRS, governments of participating jurisdictions are required to collect detailed information to be shared with other jurisdictions annually. A group of over 40 countries, including Ireland, have committed to the early adoption of the CRS from 1 January 2016 with the first data exchanges taking place in September 2017. All EU member states, except Austria, will introduce the CRS from 1 January 2016; Austria will introduce CRS from 1 January 2017.

Under Irish laws giving effect to the CRS, the Fund will be required to obtain and report to the Revenue Commissioners annually certain financial account and other information for all new and existing Unit Holders in respect of their holding of Units in the Fund. This information will include amongst other things, details of the name, address, TIN, place of residence and, in the case of Unit Holders who are individuals, the date and place of birth, together with details relating to payments made to Unit Holders and their holdings. All Unit Holders will be required to provide this information to the Fund.

This information is being collected and reported to the Revenue Commissioners by the Fund to enable the Revenue Commissioners to exchange this information with tax authorities in participating jurisdictions who have signed up to the Multilateral Competent Authority Agreement. Presently, the Fund will be required to collect and report this information in respect of all Unit Holders in the Fund, irrespective of where they are resident. It is expected that where a Unit Holder is resident in a jurisdiction which is participating in the CRS, the information submitted by the Fund to the Revenue Commissioners will be shared by the Revenue Commissioners with the tax authority of that participating jurisdiction. It is expected that where the Revenue Commissioners determine that a Unit Holder is resident in a non-participating jurisdiction, no further use will be made by the Revenue Commissioners of the information submitted by the Fund. The precise requirements of the CRS as implemented in Ireland are not yet known and may impose additional due diligence, systems and administrative burdens and costs on the Fund and/or its Unit Holders. Further information may be obtained from the AEOI (Automatic Exchange of Information) webpage on [revenue.ie](http://www.revenue.ie/en/business/aeoi/index.html) - <http://www.revenue.ie/en/business/aeoi/index.html>.

## Appendix 4

### Irish Tax Identification Number

Applicants resident or ordinarily resident for the purposes of tax in Ireland are required to provide an Irish tax reference number for the purposes of Section 891C and the Return of Values (Investment Undertakings) Regulations 2013.

<b>Tax Identification Number / PPS Number</b>	
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Applicants who are resident or ordinarily resident in Ireland are also required to provide one of the following documents to verify the Tax Identification Number (either a copy or the original is sufficient):

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

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain the applicant's name, address and tax reference number will also be acceptable.

## Appendix 5

### UK Regulatory Restrictions on Paying Commission (RDR)

If you are an intermediary undertaking business in the UK you may be in scope for RDR, in which case certain restrictions may apply in respect of the payment of commissions. In order to determine whether or not you are in scope for RDR and whether commissions are payable on the account please answer the following two questions:

#### Question 1:

- Please confirm if any of the following statements applies to your business:
  - We are an entity established in the UK and regulated by the UK's Financial Conduct Authority (the "FCA")
  - We are an overseas branch of an entity which is regulated by the UK's FCA
  - We are a UK branch of an entity domiciled in the EEA undertaking business in the UK pursuant to EEA Single Market passporting rights

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

If you have answered YES to question 1, then please go on to question 2.

If you have answered NO to question 1, then we will assume that you are not in scope for RDR and your account will be allowed to attract commission.

#### Question 2:

- Please answer each of the following questions with regard to your underlying clients:
  - Are any of the underlying clients of this account "retail clients" (which can include high net worth individuals and sophisticated individual investors that have not opted-up to professional client status)?  
  
\_\_\_\_\_ Yes                      \_\_\_\_\_ No
  - Are any of these "retail clients located (whether permanently, temporarily or on an ad hoc basis) in the UK?  
  
\_\_\_\_\_ Yes                      \_\_\_\_\_ No
  - When distributing funds to these clients, do you provide or do you intend to provide personal recommendations/advice (e.g to buy or sell)?  
  
\_\_\_\_\_ Yes                      \_\_\_\_\_ No

If you have answered YES to all of Question 2, then the RDR rules will apply and your account will be flagged "commission banned."

If you have answered NO to any of Question 2, then we will assume that the RDR Rules will not apply and your account will be flagged "Commission Allowable." If your account should be flagged as "Commission Banned" please provide your FCA number, or country equivalent in the section below.

FCA Number:

Please provide your FCA number, or country equivalent: \_\_\_\_\_

\*Please note that it is your responsibility to ensure on an ongoing basis that any accounts which have been flagged "Commission Allowable" are not used for advised, retail clients in the UK.\*

# Appendix 6

## Privacy Notice

### Introduction

This notice sets out details of how and why Brookfield Investment Funds (UCITS) plc of One George's Quay Plaza, 4<sup>th</sup> Floor, George's Quay, Dublin 2, Ireland (the "**Company**", "**we**", "**us**", "**our**") and third parties acting on our behalf collect and process personal information in connection with investments in Brookfield Investment Funds (UCITS) plc (the "**Fund**"). We do this in compliance with our obligations under applicable data protection law. This notice explains what personal data is collected, the purposes for which it is used, the third parties to whom it may be disclosed and how individuals can exercise their rights in relation to their personal data.

This notice applies to the collection and processing of personal information relating to any individual investor in the Fund and personal information relating to individuals associated with corporate investors in the Fund, such as a corporate investor's directors, shareholders, employees, professional advisers and other personnel. References to "**you**" and "**your**" mean the relevant individuals who are the subjects of the personal data to which this notice relates and "**your company**" means a corporate investor with which an individual is associated. Corporate investors should ensure that this notice is provided to any individual whose personal data the corporate investor has provided to us, such as its directors, shareholders, employees, and other personnel, as soon as practicable.

We also refer you to the CRS Customer Information Notice in our application form which contains certain further information relating to our use of your personal information.

### About Us

The Company is the controller of the personal data collected via the application form and in connection with our dealings with you or your company in relation to investments in the Fund. The Company engages third party service providers to process such personal data on behalf of the Company and those third parties act as processors. If you have any questions about the use of your personal data by or on behalf of the Fund, please contact us at the above address.

### Personal Data that we Process

We collect personal data relating to you that is provided to us in the application form and in connection with our dealings with you or your company in relation to investments in the Fund, including your name, signature, postal address, email address, fax number, date of birth, and other contact details.

We may also collect personal data in relation to you in connection with ensuring compliance with our legal obligations including your PPS number; passport number; photographic identification and verification such as copies of your passport; and address verification. For the purposes of carrying out due diligence, we may also collect information relating to your status as an ultimate beneficial owner of an entity, or as a politically exposed person.

We may collect and process personal data relating to you in connection with our on-going relationship with you or your company, such as via correspondence and calls, and in connection with our administration of you or your company's investment in the Fund. We may record telephone calls for the purposes of record keeping, security and training.

In addition, we may collect personal data relating to you from third party sources in connection with complying with legislation relating to anti-money laundering, taxation, and other legislation applicable to investment funds.

We require you to complete the mandatory fields identified in our application form for the purpose of entering into a contract with you or your company. Please note that some of the information required by our application form is necessary in order for us to administer your or your company's investment in the Fund and if you or your company do not provide us with these required details, we may decline your or your company's application to become an investor. Please be advised that you may be contractually obliged to ensure that certain information that we hold relating to you is up to date pursuant to the application form.

### Purposes of Processing and Legal Basis

Personal data that you or your company provides in your application form, or that we otherwise obtain in relation to you, will be processed for the following purposes:

- processing your or your company's application to become an investor;
- establishing your identity, and providing, servicing and administering your or your company's investment;
- complying with our legislative and regulatory obligations in connection with our dealings with you or your company, including under applicable law regarding anti-money laundering, taxation, the regulation of collective investment schemes, or the provision of financial services;



- for direct marketing purposes, subject to any preferences you communicate to us;
- if applicable, processing the fact that you are a politically exposed person, to comply with applicable legal obligations;
- to communicate with you by way of notice pursuant to applicable legislation or the Fund's Constitution;
- maintaining appropriate business records, including maintaining appropriate registers of shareholders;
- statistical analysis and market research;
- internal training and management of personnel;
- to respond to or evaluate any queries or complaints in relation to your or your company's investment;
- internal and external audits and, where necessary, investigations; and
- establishing, exercising or defending legal claims.

The legal grounds that we rely on to process your personal data are:

- that this is necessary to comply with our legal obligations;
- that this is necessary for the purposes of our legitimate interests or the legitimate interests of a third party to whom we provide your personal data. We will not process your personal data for these purposes if our or the third party's legitimate interests should be overridden by your own interests or fundamental rights and freedoms. The legitimate interests pursued by us in this regard include:
  - conducting our business in a responsible and commercially prudent manner and dealing with any disputes that may arise;
  - preventing, investigating or detecting theft, fraud or other criminal activity;
  - pursuing our corporate and social responsibility objectives;
- where you are an individual investor, that this is necessary to take steps at your request prior to entering into our contract with you and for the performance of our contract with you;
- in certain limited circumstances, your consent.

#### Recipients of Data

We may disclose your personal data to various recipients in connection with the above purposes, including:

- to the Administrator;
- to Brookfield Investment Management Inc., the Fund's investment manager;
- to the Fund's distributor(s);
- to the Fund's Money Laundering Reporting Officer;
- to the Revenue Commissioners and other tax authorities as required by applicable law, including FATCA or CRS;
- to the Central Bank of Ireland, auditors, or other competent regulatory authorities and bodies as requested or required by law;
- to other third parties who we engage to provide services to us, such as professional advisers, auditors and IT service providers;
- to credit reference agencies in order to carry out money laundering and identity checks and to comply with legal obligations; and
- to other members of our corporate group.

## Transfers Abroad

In connection with the above purposes we may transfer your personal data outside the European Economic Area, including to a jurisdiction which is not recognised by the European Commission as providing for an equivalent level of protection for personal data as is provided for in the European Union. If and to the extent that we do so, we will ensure that appropriate measures are in place to comply with our obligations under applicable law governing such transfers, which may include: (a) entering into a contract governing the transfer which contains the "standard contractual clauses" approved for this purpose by the European Commission; (b) in respect of transfers to the United States of America, ensuring that the transfer is covered by the EU-US Privacy Shield framework; or (c) transferring your personal data pursuant to binding corporate rules.

Further details of the measures that we have taken in this regard and the territories to which your personal data may be transferred are available by contacting us at our address set out at the beginning of this notice.

## Retention

We will retain your personal data for the duration of your or your company's investment in the Fund and for such a period of time after the investment ends as is necessary to comply with our obligations under applicable law and, if relevant, to deal with any claim or dispute that might arise.

## Your Rights

You have the following rights, in certain circumstances and subject to applicable exemptions, in relation to your personal data:

- the right to access the personal data that we hold about you, together with other information about our processing of that personal data;
- the right to require us to rectify any inaccuracies in your personal data;
- the right to require us to erase your personal data;
- the right to request that we no longer process your personal data for particular purposes;
- the right to object to our use of your personal data or the way in which we process it; and
- where the legal basis for processing is that it is necessary for the performance of a contract with you, the right to receive your personal data, which you provided to us, in a structured, commonly used and machine-readable format or to require us to transmit that data to another controller.

In order to exercise any of the rights set out above, please contact us at the address set out at the beginning of this notice or contact us at [publicsecurities.enquiries@brookfield.com](mailto:publicsecurities.enquiries@brookfield.com) or call us at 1 \*(855) 777-8001.

## Complaints

If you are not happy with the way we have used your information or addressed your rights, you have the right to lodge a complaint with the Irish Data Protection Commission ([info@dataprotection.ie](mailto:info@dataprotection.ie)) or your local supervisory authority.

## Appendix 7

### AML Information

#### 1. TYPE OF INVESTMENT

I/we confirm that the investment into the Fund:

☐ Is made on my/our own behalf and is not in favour of a third party

Please proceed to section 2

☐ Is made on behalf of third party and that the account will reflect:

☐ 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)

☐ 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

☐ 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 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

☐ Execution-only business.

#### 2. EXPECTED VOLUMES & FREQUENCY (BANKS/ NOMINEES DO NOT NEED TO COMPLETE)

Please complete the below section with your expectations in terms of investment in the fund.

**The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.**

##### 2.1. Expected frequency of trading

Please tick the anticipated frequency.

<input type="checkbox"/> Single transaction	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annual	<input type="checkbox"/> Annual	<input type="checkbox"/> Ad-hoc
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## 2.2 Expected investment amount \*

<input type="checkbox"/> Individuals				
	Expected Total Investment	EUR		
<input type="checkbox"/> Insurance Companies, Pension Funds, Investment Funds, Listed Companies				
	Expected Total Investment:	EUR		
<input type="checkbox"/> Other types of investors				
	Expected Total Investment:	EUR		

## 3. Ultimate Economic Beneficiary- Applies to all investor types excluding individual/ retail investors

### 3.1. Ultimate Economic Beneficiary information 1

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed. Please note for Trusts it includes all Trustees, beneficiaries, settlor and protector where applicable.

**Important:** In case of indirect ownership, please provide details of the beneficiary layers and we will advise what additional information is required

Please provide the information if any of the account holder or the ultimate economic beneficiary(ies) is/are either:

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected:	If applicable, please describe:
<input type="checkbox"/> a person exercising a public function, including for a public agency or public enterprise:	
<input type="checkbox"/> an official or agent of a public international organisation	
<input type="checkbox"/> a person or company manifestly close to or connected with the above persons	

### 3.2. Ultimate Economic Beneficiary details

<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms (please tick the right choice)			
Surname(s)		First Name	
Date of birth (DD/MM/YYYY) / /	Place & Country of birth	Occupation and area of activity:	Nationality
Passport / ID Number: (circle the right choice)	Issuing Country:	Expiration Date (DD/MM/YYYY) / /	Double Nationality: <input type="checkbox"/> Never <input type="checkbox"/> Renounced <input type="checkbox"/> Yes, which:
Registered Address* Street Number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:
Mailing Address if different from above Street Number	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:

Telephone:	Fax:	E-Mail: @	Mobile-Phone:
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\* P.O. Box and "in care of" addresses are not valid registered address. These are acceptable for mailing purposes.

Signature of the ultimate economic beneficiary

Date and place of signature

#### 4. ECONOMIC ORIGIN OF THE MONIES INVESTED

##### 4.1. Where investing in own name and on own behalf:

The Account Holder declares that the origin of the funds used for subscription is coming from: (please tick the right choice)

- ☐ Inheritance (please provide some details)
- ☐ Sale of real estate (please provide some details)
- ☐ Redemption from other investments (please provide some details)
- ☐ Savings on salary
- ☐ Treasury investment (Corporate)
- ☐ Other (please describe)

Details:

Main country of origin of the funds invested:

\_\_\_\_\_

Signature of the account holder

Signature of the account holder 2