

# LC Equity Fund, Ltd.

## Application Form

To: **LC Equity Fund, Ltd.**  
 C/O U.S. Bank Global Fund Services (Ireland) Limited  
 24-26 City Quay  
 Dublin 2  
 Ireland  
 Attn: Investor Services Department

Tel: +353 1 523 8290  
 Fax: +353 1 523 8390  
 Queries: [Investorservices@quintillion.com](mailto:Investorservices@quintillion.com)  
 Dealing: [Investordealing@quintillion.com](mailto:Investordealing@quintillion.com)

Words used in this Application Form have the same meaning as in the offering memorandum of LC Equity Fund, Ltd. (the "Company") dated April 2020, as amended or supplemented from time to time (the "Offering Memorandum") unless the context requires otherwise. You should read the Offering Memorandum before completing this form. This Application Form, together with the Anti-Money Laundering documents referred to in Appendix A and the FATCA & International Tax Compliance Self Certification Form in Appendix B should be posted or faxed/mailed to U.S. Bank Global Fund Services (Ireland) Limited (the "Administrator") at the address above.

All applicants must complete or provide such other documentation as the Company or the Administrator may from time to time request.

### 1. APPLICANT DETAILS (Please use BLOCK CAPITALS)

Notification of any inaccuracies on contract notes issued after deals have been processed must be communicated to the Administrator immediately upon receipt.

#### APPLICANT TYPE

- Individual  
  Joint Applicant  
  Corporation  
  Financial Intermediary  
  Partnership/Trust  
 Fund of Funds  
  Educational Institute  
  Charity  
  Other (please specify): \_\_\_\_\_

#### REGISTERED ADDRESS

Registered Name:			
Registered Address:			
Country of Domicile:			
Contact Name:		Tel No:	
Email:		Fax No:	

#### CORRESPONDENCE ADDRESS (if different from above).

All correspondence will be sent to the above address, unless the following section is completed.

Name:			
Mailing Address:			
Contact Name:		Tel No:	
Email:		Fax No:	

Please tick (✓) the preferred means of communication(s) for correspondence:

- Email  
  Fax  
  Mail

# LC Equity Fund, Ltd.

## Application Form

### 2. INVESTMENT DETAILS

Please tick (✓) the class you wish to invest in below:

Class CHF Shares	<input type="checkbox"/>	Valor 4412794	ISIN KYG542051027
Class EUR Shares	<input type="checkbox"/>	Valor 4412800	ISIN KYG542051100
Class USD Shares	<input type="checkbox"/>	Valor 4412819	ISIN KYG542051282

Please complete either the "Amount" or "No. of Shares" field:

<b>Monetary Amount</b>	<input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <small>Millions      Thousands      Hundreds      Decimals</small>	<b>In Words:</b>	
<b>No. of Shares</b>	<input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <small>Millions      Thousands      Hundreds      Decimals</small>	<b>In Words:</b>	
<i>Example</i>	<input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <small>Millions      Thousands      Hundreds      Decimals</small>	<i>In Words:</i>	<i>E.g. Ten Million, five hundred thousand</i>

### 3. SUBSCRIPTION BANK DETAILS

Unless the Administrator otherwise agrees, payment for Shares must be received by the relevant settlement date by electronic transfer in cleared funds in the currency of the relevant Shares. Please pay direct via MT103 to the details as follows:

	CHF	EUR	USD
<b>Beneficiary Bank</b>	Citibank N.A., London	Citibank N.A., London	Citibank N.A., London
<b>Swift Code</b>	CITIGB2L	CITIGB2L	CITIGB2L
<b>Account Name</b>	Quintillion Ltd Client LC Equity Fund	Quintillion Ltd Client LC Equity Fund	Quintillion Ltd Client LC Equity Fund
<b>Account Number</b>	11962140	11962124	11962132
<b>IBAN</b>	GB71CITI18500811962140	GB18CITI18500811962124	GB93CITI18500811962132
<b>Reference Details</b>	{Fund Name & Investor Name}	{Fund Name & Investor Name}	{Fund Name & Investor Name}

With separate cover message (MT202) via your correspondent bank as follows:

<b>Correspondent Bank &amp; Swift Code</b>	Not Applicable	Not Applicable	Citibank N.A., New York CITIUS33
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### 4. REDEMPTION BANK DETAILS

Bank Accounts must be in the name of the Applicant (set out in 1, above). Please note that payments will not be made to any person other than the applicant.

<b>Beneficiary Bank</b>			
<b>Address</b>			
<b>Swift/Sort Code</b>		<b>IBAN</b>	
<b>Account Name</b>			
<b>Account Number</b>			
<b>Reference Details</b>			
<b>Correspondent Bank</b> (If applicable)			
<b>Swift/Sort Code</b>			

**5. DECLARATIONS AND WARRANTIES**

**1.1. Authority**

If I am an Individual investor, I/we confirm that I/we are 18 years of age or over. I/We further represent and warrant that I/we have the right and authority to make the investment pursuant to this Application Form whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of any laws or regulations of any competent jurisdiction applicable to the subscriber and I/we hereby indemnify the Company, the prime broker, the Administrator and other shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.

**1.2. Application is on the basis of the Offering Memorandum**

I/We acknowledge that I/we have received and considered a copy of the current Offering Memorandum of the Company. I/We acknowledge that this application is made on the basis of and subject to the Offering Memorandum of the Company and its Memorandum and Articles of Association and that I/we have not relied upon any representations or other information (whether oral or written) other than as set forth in the foregoing documentation.

I/we agree that the terms of offer and the rights attaching to the Shares, as set out in this Application Form, the Offering Memorandum and Articles, can be varied in accordance with the provisions of the Articles.

I/we acknowledge and agree that where the Application Form is accepted, the Shares will be treated as having been issued with effect from the relevant Subscription Day, notwithstanding that my/our subscription for those Shares may not be entered in the Company's register of members until after the Subscription Day and that the payment will accordingly be subject to investment risk in the Company from the relevant Subscription Day and that the payment will accordingly be subject to investment risk in the Company from the relevant Subscription Day.

**1.3. Professional Applicant Declaration**

I/We warrant and declare that: (a) I/we have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Company; (b) I am/we are aware of the risks inherent in investing in the Shares and the method by which the assets of the Company are held and/or traded; and (c) I/we can bear the risk of loss of my/our entire investment.

**1.4. Applicant not a US Person**

I/We hereby certify that the Shares are not being acquired directly nor indirectly by a US person, nor in violation of any applicable law to the subscriber. In particular: (i) I am not/none of us is, and the Shares will not be purchased or held for the account or benefit of, or purchased with funds obtained from, a US person; (ii) I/we will not acquire the Shares in the US; (iii) I/we will notify the Company immediately if I/we should at any time become, or hold the Shares for the benefit of, a US person or be prohibited from holding Shares under any applicable law; (iv) I was/we were not solicited in the US for the purchase of Shares and did not place my/our order for Shares while in the US; (v) if we are a bank, broker or dealer, we are acquiring Shares on behalf of clients for investment purposes, no such clients are US persons, and we will notify the Company immediately if it shall come to our attention that any such client becomes a US person.

**1.5. Applicant not a Cayman Islands Person**

I/We hereby certify that I am/we are not (i) a citizen or resident of the Cayman Islands (excluding exempted or non-resident entity incorporated in the Cayman Islands), (ii) a person to whom the offer or sale of Shares would be unlawful under applicable law, or (iii) a custodian, nominee, or trustee of any person or entity described in (i) above.

**1.6. ERISA**

I am/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans ("ERISA Plans") subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended ("ERISA"), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a "plan" in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively "Qualified Plans"), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.

**1.7. Issuance of Shares**

I/We hereby irrevocably apply for such number of Shares (including fractions) at a price determined in accordance with the Offering Memorandum. I/We request that the Shares issued pursuant to this application are registered in the name(s) and address set out in Section 1 above. I/We acknowledge that the Administrator and or the Company reserves the right to reject any application in whole or in part and that such acceptance or rejection will be communicated to me/us via email. I/We acknowledge that no offer to purchase Shares of the Company will arise until a validly executed Application Form has actually been received by an authorised representative of the Administrator at the address shown on this Application Form.

**1.8. Facsimile Instructions**

I/We hereby confirm that the Company, the Directors and the Administrator are each authorised and instructed to accept and execute any instructions in respect of this application and the Shares to which it relates given by me/us by facsimile or email. If instructions are given by me/us by facsimile or email, I/we acknowledge that the onus is on me/us to ensure that such instructions are received in legible form, and I/we undertake to confirm them in writing. I/We hereby indemnify the Company, the Directors and the Administrator and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile instructions. The Company, the Directors and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons.

**1.9. Electronic Signatures**

I/We hereby authorise the Company and/or the Administrator to accept and act upon all Electronic Instructions given to the Company and/or the Administrator without any further verification which emanate from, or are authorised by me/us, or which the Company and/or the Administrator honestly believes emanate from, or were authorised by me/us.

Electronic Instructions" means:

# LC Equity Fund, Ltd.

## Application Form

- (a) Instructions given by Electronic Means; or
- (b) Instructions containing, bearing, sealed, authorised by or sanctioned by an Electronic Signature.

“Electronic Means” includes without limitation email, facsimile, telephone, computer or any other electronic means.

“Electronic Signature” means any signature which is in electronic form in, attached to, or logically associated with, information that is used by the subscriber to indicate his/her or its adoption of the content of that information and meets the following requirements:

- (a) it is uniquely linked to the subscriber;
- (b) it is capable of identifying the subscriber;
- (c) it is created using means that the subscriber can maintain under his/her or its sole control; and
- (d) it is linked to the information to which it relates in such a manner that any subsequent alteration of the information is revealed or detectable.

I/We hereby agree that the Company and/or the Administrator shall not be liable to me/us for any loss suffered by me/us howsoever arising where the Company and/or Administrator accepts or acts upon Electronic Instructions from me/us including Electronic Instructions signed by way of an Electronic Signature given to the Company and/or Administrator which:

- (i) emanate from, or are authorised by me/us; or
- (ii) the Company and/or Administrator honestly believed emanated from, or were authorised, by me/us.

I/We hereby indemnify and hold the Company and the Administrator harmless from and against any and all loss suffered by the Company and/or the Administrator howsoever arising where the Company and/or Administrator accepts or acts upon Electronic Instructions from me/us including Electronic Instructions signed by way of an Electronic Signature given to the Company and/or Administrator which:

- (i) emanate from, or are authorised by me/us; or
- (ii) the Company and/or Administrator honestly believed emanated from, or were authorised, by me/us.

### 1.10. Joint Applicants

We direct that on the death of one of us the Shares for which we hereby apply 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 of such survivor or survivors.

### 1.11. Performance Fees

I/We warrant that I/we accept that the Company has authority to redeem a portion of my/our investments in the Company and to pay the proceeds to the Investment Manager as part of any Performance Fee payable in accordance with the provisions of the Offering Memorandum.

### 1.12. Mandatory Redemption

I/We acknowledge the right of the Company at any time to require the mandatory redemption of Shares as provided in the Offering Memorandum.

### 1.13. Tax Consequences

I/We understand that the tax disclosure set forth in the Offering Memorandum is of a general nature and may not cover the jurisdiction in which I am/we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.

### 1.14. Anti-Money Laundering

In the case of delay or failure to provide satisfactory information, information allowed to be disclosed as to the extent permitted by laws, including but not limited to banking secrecy laws and regulations, applicable to the subscriber, the Administrator may take such action (including declining to accept an application and suspension of redemption payments proceeds) as it thinks fit.

I/we understand and accept that the Administrator reserves the right to seek evidence of identity to comply with applicable money laundering regulations.

I/We hereby agree to indemnify and keep indemnified the Administrator, the Company and its directors, officers and agents against any loss arising to them as a result of my/our failure to disclose any relevant details or provide them with all information, to the extent as permitted by laws, including but not limited to banking secrecy laws and regulations, as applicable to the subscriber, requested by them.

The Applicant should refer to (Section 7) for details of the documentation required to be submitted to the Administrator for anti-money laundering purposes.

### 1.15. Data Protection/Information about other services

In signing this Application Form, I/we hereby consent to the Company and its delegates and its or their duly authorised agents and any of their respective related, associated or affiliated companies obtaining, holding, using, disclosing and processing my data:

- i) To manage and administer my/our holding in the Company and any related accounts on an on-going basis;
- ii) For any other specific purposes where I/we have given specific consent to do so;
- iii) To carry out statistical analysis and market research;
- iv) To comply with legal or regulatory requirements applicable to the Company, the Investment Manager or me;
- v) For disclosure or transfer whether in Ireland or countries outside of Ireland including without limitation the United States of America, which may not have the same data protection laws as Ireland, to third parties including my financial adviser (where appropriate), regulatory bodies, auditors, technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above.
- vi) For other legitimate business interests of the Company.

I/we hereby acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein.

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

# LC Equity Fund, Ltd.

## Application Form

I/we consent to the recording of telephone calls made to and received from me/us by the Company, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. I/we consent to the sending by the Company of information about other investment services to me/us, by letter, telephone or other reasonable means of communication.

Please tick (✓) this box if you do not wish to receive such communications:

### 1.16. Cayman Islands Data Protection

I/We represent and warrant that all personal data provided to the Company or its delegates (including, without limitation, the Administrator) by or on behalf of me/us has been and will be provided in accordance with applicable laws and regulations, including, without limitation, those relating to privacy or the use of personal data. I/We shall ensure that any personal data provided to the Company or its delegates (including, without limitation, the Administrator) is accurate and up to date, and I/we shall promptly notify the Administrator if I/we become aware that any such data is no longer accurate or up to date.

I/We acknowledge that the Company and/or its delegates may transfer and/or process personal data provided by me/us outside of the Cayman Islands and I/we hereby consent to such transfer and/or processing and further represent that I am/we are duly authorised to provide this consent on behalf of any individual whose personal data is provided to the Company/Administrator.

I/We acknowledge receipt of the Company's privacy notice (the "Fund Privacy Notice"). I/We shall promptly provide the Fund Privacy Notice to (i) each individual whose personal data has been provided or will be provided to the Company or any of its delegates in connection with my/our investment in the Company (such as a directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents) and (ii) any other individual connected to me/us as may be requested by the Company or any of its delegates. I/We shall also promptly provide to any such individual, on request by the Company or any of its delegates, any updated versions of the Fund Privacy Notice and the privacy notice (or other data protection disclosures) of any third party to which the Company or any of its delegates has directly or indirectly provided that individual's personal data.

### 1.17. AEIOI

For the purposes of the following provisions, "AEIOI" means:

- i sections 1471 to 1474 of the US Internal Revenue Code of 1986 and any associated legislation, regulations or guidance, and any other similar legislation, regulations or guidance enacted in any other jurisdiction which seeks to implement similar financial account information reporting and/or withholding tax regimes;
- ii the OECD Standard for Automatic Exchange of Financial Account Information in Tax Matters – the Common Reporting Standard (the "CRS") and any associated guidance;
- iii any intergovernmental agreement, treaty, regulation, guidance, standard or other agreement between the Cayman Islands (or any Cayman Islands government body) and any other jurisdiction (including any government bodies in such jurisdiction), entered into in order to comply with, facilitate, supplement or implement the legislation, regulations, guidance or standards described in sub-paragraphs (i) and (ii); and
- iv any legislation, regulations or guidance in the Cayman Islands that give effect to the matters outlined in the preceding sub-paragraphs.

I/We acknowledge and agree that:

- (a) the Company is required to comply with the provisions of AEIOI;
- (b) I/we will provide, in a timely manner, such information regarding myself/ourselves and my/our beneficial owners and such forms or documentation as may be requested from time to time by the Company (whether by its Directors or other agents such as the Investment Manager or the Administrator) to enable the Company to comply with the requirements and obligations imposed on it pursuant to AEIOI, specifically, but not limited to, forms and documentation which the Company may require to determine whether or not the relevant investment is a "Reportable Account" (under any AEIOI regime) and to comply with the relevant due diligence procedures in making such determination;
- (c) any such forms or documentation requested by the Company or its agents pursuant to paragraph (b), or any financial or account information with respect to my/our investment in the Company, may be disclosed to the Cayman Islands Tax Information Authority (or any other Cayman Islands governmental body which collects information in accordance with AEIOI) and to any withholding agent where the provision of that information is required by such agent to avoid the application of any withholding tax on any payments to the Company;
- (d) I/we waive, and/or shall cooperate with the Company to obtain a waiver of, the provisions of any law which:
  - (i) prohibit the disclosure by the Company, or by any of its agents, of the information or documentation requested from me/us pursuant to paragraph (b); or
  - (ii) prohibit the reporting of financial or account information by the Company or its agents required pursuant to AEIOI; or
  - (iii) otherwise prevent compliance by the Company with its obligations under AEIOI;
- (e) if I/we provide information and documentation that is in anyway misleading, or fail to provide the Company or its agents with the requested information and documentation necessary in either case to satisfy the Company's obligations under AEIOI, the Company reserves the right (whether or not such action or inaction leads to compliance failures by the Company, or a risk of the Company or its investors being

# LC Equity Fund, Ltd.

## Application Form

subject to withholding tax or other costs, debts, expenses, obligations or liabilities (whether external, or internal, to the Company) (together, "costs") under AEOI):

- (i) to take any action and/or pursue all remedies at its disposal including, without limitation, compulsory redemption of my/our Shares; and
  - (ii) to hold back from any redemption or repurchase proceeds, dividend payments or any other distributions, or to deduct from the applicable NAV of my/our Shares, any costs caused (directly or indirectly) by the my/our action or inaction; and
- (f) I/we shall have no claim against the Company, or its agents, for any form of damages or liability as a result of actions taken or remedies pursued by or on behalf of the Company in order to comply with AEOI.

I/we hereby indemnify the Company, the Directors, the Administrator and the Investment Manager, and each of their respective principals, members, managers, officers, directors, stockholders, employees and agents and holds them harmless from and against any AEOI related liability, action, proceeding, claim, demand, costs, damages, expenses (including legal expenses) penalties or taxes whatsoever which the Company, the Directors, the Administrator and/or the Investment Manager may incur as a result of any action or inaction (directly or indirectly) by me/us (or any related person) described in paragraphs (a) to (f) above. This indemnification shall survive my/our death or disposition of my/our Shares in the Company.

### 1.18. Governing Law

This Application Form shall be governed by and construed in accordance with the laws of the Cayman Islands.

### 1.19. Communications via E-Mail and Internet

Reports and communications may be sent to the Applicant via electronic mail, or through an internet based system where possible. The Applicant acknowledges the risks of interception, breach of confidentiality and alteration, among other, inherent in the use of electronic mail and the Internet, and the Applicant agrees to hold the Administrator, harmless from and against any and all claims arising out of or resulting from the delivery of reports or communications via electronic mail or the Internet. Sections 8 and 19 of the Electronic Transaction Law (2003) of the Cayman Islands shall not apply to this Application Form.

### 1.20. Accuracy of Information

I/We agree to notify the Company or the Administrator immediately if I/we become aware that any of the representations is no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct, including where appropriate, the redemption of my/our holding in its entirety. I/We agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form or any other document delivered by me/us to the Company and or Administrator.

### 1.21. Third Party Rights

A person who is not a party to this Application Form and who is granted rights pursuant to clauses 1.1, 1.8, 1.13, 1.16 and 1.20 of this Application Form (each, a "Beneficiary") may, in their own right enforce their rights subject to and in accordance with the provisions of the Contracts (Rights of Third Parties) Law, 2014, as amended, modified, re-enacted or replaced. Notwithstanding any other term of this Application Form, the consent of any person who is not a party to this Application Form (including without limitation any Beneficiary) is not required for any amendment to, or variation, release, rescission or termination of this Application Form.

### 1.22. Current or Future Action

I/we agree that I/we shall not take any action to present a petition or commence any case, proceeding, proposal or other action under any existing or future law of any jurisdiction, domestic or foreign, relating to bankruptcy, insolvency, reorganization, arrangement in the nature of insolvency proceedings, adjustment, winding-up, liquidation, dissolution, composition or analogous relief in respect of the Company or any debts of the Company: (i) as a creditor of the Company, unless and until a debt is immediately due and payable by the Company to me/us and (ii) in all other cases, in connection with the Company's suspension of any of the valuation of net asset value, my/our redemption rights or my/our right to receive redemption proceeds.

## 6. SIGNATURE AND DECLARATION

By signing here, the signatories are also applying for shares in the Company on the terms of this Application Form and the Offering Memorandum for the Company.

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

I/We declare that I/we will, if required to do so by the Company or Administrator, provide further information and/or documents, to the extent permitted by laws, including but not limited to banking secrecy laws, applicable to the subscriber, to verify this information.

# LC Equity Fund, Ltd. Application Form

In the case of Joint Applicants all applicants must sign the below.

Name of Authorising Officer	Title	Signature	Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**EACH APPLICANT MUST COMPLETE THE FOLLOWING ANTI-MONEY LAUNDERING SECTION AND FATCA & INTERNATIONAL TAX COMPLIANCE SELF-CERTIFICATION FORM BEFORE SUBMITTING THE APPLICATION FORM**

## ANTI-MONEY LAUNDERING FORM

**IMPORTANT: ALL APPLICANTS** must complete Section 1: AML questionnaire, including the execution page, and provide the AML documentation as detailed in SECTION 2 **prior** to investment. **Failure to complete may result in your investment being rejected or delayed.** Where investments are delayed/rejected investor monies will be held in a non-interest bearing account. The Administrator, Company and Directors are indemnified by you against any loss of any nature whatsoever arising from rejecting, or delaying to proceed with an investment.

This purpose of this document is to provide the investor with guidance on the types of documents that are typically required to meet anti-money laundering and know your client requirements. However requirements may vary depending due to local jurisdiction nuances and entity types. If you are in doubt as to the information and documentation required to be submitted please contact the Administrator for further guidance.

### SECTION 1: AML Questionnaire – To be completed by **ALL** applicants

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

Country of Residence: \_\_\_\_\_ Principal place of Business: \_\_\_\_\_

Wiring Bank: \_\_\_\_\_ Name on Wiring Account\*: \_\_\_\_\_

*\*Note investment monies must be received from an account in the Applicants name.*

Business/Professional Activity \_\_\_\_\_

**Source of Funds** (Please indicate how the funds associated with this particular investment were generated):

- Income       Savings       Bonus       Gift or Inheritance       Property sale  
 Company sale       Share sale       Dividend       Other please specify: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Source of Wealth:** (Please indicate the activities which have generated the applicant's total net worth, please also include details of your occupation and employers' details where applicable):

- Income       Savings       Bonus       Gift or Inheritance       Property sale  
 Company sale       Share sale       Dividend       Other please specify: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Please note that we may require additional information regarding the above Source of Funds and Source of Wealth declarations.**



# LC Equity Fund, Ltd. Application Form

## Politically Exposed Person PEP Declaration (please tick ✓)

I/We confirm that I/we meet the definition of a politically exposed person ('PEP')<sup>1</sup> or any immediate family member or close associate of a PEP as defined in the glossary of terms below. I/We confirm I/we will provide the necessary disclosures and documentation regarding source of wealth and where relevant the source of wealth of any beneficial owners<sup>2</sup> who meet the definition of a PEP

I/We confirm that I/we do not meet the definition of PEP or any immediate family member or close associate of PEP as such terms are defined in the glossary of terms below.

### IMPORTANT: PLEASE COMPLETE PRIOR TO INVESTMENT

#### (A) Please provide details of Directors / Partners / Trustees / Controllers of the Applicant.

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

<sup>1</sup> "politically exposed person" means an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): (a) a specified official; (b) a member of the administrative, management or supervisory body of a state-owned enterprise;

"specified official" means any of the following officials (including any such officials in an institution of the European Communities or an international body): (a) a head of state, head of government, government minister or deputy or assistant government minister; (b) a member of a parliament or of a similar legislative body; (bb) a member of the governing body of a political party' (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, chargé d'affaires or high-ranking officer in the armed forces; (f) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

"close associate" of a politically exposed person includes any of the following persons: (a) any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the 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 the politically exposed person.

"immediate family member" of a politically exposed person includes any of the following persons: (a) any spouse of the politically exposed person; (b) any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides; (c) any child of the politically exposed person; (d) any spouse of a child of the politically exposed person; (e) any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides; (f) any parent of the politically exposed person; (g) any other family member of the politically exposed person who is of a prescribed class.

<sup>2</sup> "Beneficial owner" means the natural person who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted and includes but is not restricted to

- (a) in the case of a legal person other than a company whose securities are listed on a recognised stock exchange, a natural person who ultimately owns or controls, whether through direct or indirect ownership or control, 10% or more of the shares or voting rights in the legal person;
- (b) in the case of any legal person, a natural person who otherwise exercises ultimate effective control over the management of the legal person; or
- (c) in the case of a legal arrangement, the trustee or other person who exercises ultimate effective control over the legal arrangement;

# LC Equity Fund, Ltd. Application Form

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

If additional Directors/Partners/Trustees, please submit details on headed paper or alternatively provide a register of directors if available.

**(B) Please provide details of all Beneficial Owners who have a beneficial interest of 10% or more of the Applicant.** (Please refer to the glossary of terms for definition of Beneficial Owner).

- Where there is a natural person(s) who ultimately owns (directly or indirectly) 10% or more of the legal entity or arrangement. (Please complete (i) below (i.e. ownership interest). **OR**
- Where there is no natural person(s) who ultimately owns (directly or indirectly) 10% or more of the legal entity or arrangement. (Please complete (ii) below (i.e. control interest).

Note: Where the Beneficial Owner is an entity and not a natural person please provide details including an organisation structure chart and details of the ultimate beneficial owner who is a natural person(s) below.

**(i) I/We confirm the following beneficial owner(s) ultimately own (directly/indirectly) 10% or more or more of the legal entity or arrangement. (ownership Interest)**

Name ..... Tax identification Number .....

Date of Birth ..... Place of Birth ..... Nationality .....

Shareholding % ..... Registered Address .....

Business Address .....

City, Town, State, Province or County ..... Postal/ZIP Code .....

Country .....

Name ..... Tax identification Number .....

# LC Equity Fund, Ltd. Application Form

Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name .....Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name .....Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name .....Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name .....Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name .....Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

# LC Equity Fund, Ltd. Application Form

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Name ..... Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name ..... Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

Name ..... Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Shareholding % .....Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....

**OR**

**(ii) I/We confirm that there are NO Beneficial Owner(s) who ultimately owns (directly or indirectly) 10% or more of the legal entity or arrangement.**

Please provide details of the Senior Managing Official(s)<sup>3</sup> who exercises control over the entity or legal arrangement (control interest). *This applies to all entities including financial institutions.*

If there are additional Senior Managing Officials please submit additional details on company headed paper.

Name ..... Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....  
Statement of the nature & extent of control exercised.....

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<sup>3</sup> The natural person who ultimately owns or controls the customer which typically includes a director and/or a chief executive officer.

# LC Equity Fund, Ltd. Application Form

.....  
Name ..... Tax identification Number.....  
Date of Birth.....Place of Birth.....Nationality.....  
Registered Address.....  
Business Address .....  
City, Town, State, Province or County.....Postal/ZIP Code .....  
Country.....  
Statement of the nature & extent of control exercised.....  
.....

## Declaration and Representation:

I/We hereby confirm that all disclosures, information and documentation supplied to the Administrator are true and correct. I/We agree to notify the Administrator if any of the information supplied in this AML Form changes or is no longer true or accurate including any changes to Beneficial Owners or Directors where applicable as soon as possible.

The Administrator reserves the right to request further documentation in addition to the requirements specified in this AML Form in order to satisfy regulatory requirements. Where an investor or beneficial owner is PEP or is resident in a jurisdiction which the Administrator has deemed as higher risk, further due diligence documentation maybe required prior to investment.

The Administrator reserves the right to request further or updated information and documentation on an on-going basis for purposes of ensuring documentation is kept up to date, for example where identification documents may have expired or where there has been a change in address, beneficial ownership or control.

The Undersigned hereby confirm(s) that he/she is duly authorised to make the above representations and declarations on behalf of the Applicant.

## Execution Signature:

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

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

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

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

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

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

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

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

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<b>SECTION 2: AML Documentation Requirements</b>
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**IMPORTANT: PLEASE PROVIDE PRIOR TO INVESTMENT**

- Part I** Individual Applicants and Joint Applicants.
- Part II** LLC
- Part III** Companies
- Part IV** Partnerships
- Part V** Trusts
- Part VI** Funds / Collective Investment Schemes
- Part VII** Pension Schemes
- Part VIII** Charities /Foundations
- Part IX** Banks and Regulated Financial Institutions acting on their own behalf
- Part X** Financial Intermediaries and Nominee Companies.
- Part XI** Template Nominee/Financial Intermediary Letter
- Part XII** Nominee/Financial Intermediary Beneficial Owner Declaration

# LC Equity Fund, Ltd.

## Application Form

Please refer to the Glossary of Terms below to determine the applicant's relevant Jurisdiction

### Certification Requirements

- Copy documents (*non-certified*) are acceptable where the investor is located in an Equivalent Jurisdiction<sup>4</sup>.
- Certified documents are required where the investor is not located in an Equivalent Jurisdiction. Where the investor is located in a high risk jurisdiction<sup>5</sup> an original ink version of the certified document must be provided.
- Certified documents must bear the words '**certified as a true copy of the original**', or words to this effect.
- Certified documents **must clearly detail the certifier's full details** including name, title, company, address, telephone, practising number and bear the original stamp/signature of the certifier, if any. Details can be provided by way of business card if appropriate. Please note the administrator may contact the certifier to confirm details.
- Documents must bear the signature of the certifier.
- Where documents **are not in English**, a notarized translation is required.

**Who can certify:** Authorised staff of a financial or credit institution (regulated in an equivalent jurisdiction), Police Officer, Practising Chartered & Certified Public Accountant, Reputable Notaries, Public/Practising Solicitor, Justice of the Peace, Commissioner for Oaths, Embassy/Consular Staff, Medical Professional, Company Secretary.

*Note: Certifications by family members are not acceptable*

### PART I – Individual / Joint Applicants

Individual and Joint applicants should provide documentation outlined in (A) or (B) below, as appropriate:

- In the case of joint holders, please supply the relevant documentation in respect of ALL holders.
- Proof of identification documentation must be clearly legible, in date and bear the applicant's photo & signature.
- Bills and statements should reflect the applicant's residential address. PO Box addresses are not acceptable.

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<sup>4</sup> Equivalent jurisdiction being Australia, Austria, Belgium, Bulgaria, Canada, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Grenada, Guernsey, Hungary, Iceland, Ireland, Isle Of Man, Italy, Japan, Jersey, South Korea, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Saint Vincent And The Grenadines, Singapore, Slovakia, Slovenia, Spain, Sweden, Switzerland, United Kingdom, United States (List is subject to change).

<sup>5</sup> High risk jurisdiction being Afghanistan, Albania, Algeria, American Samoa, Angola, Azerbaijan, Bahamas, Bangladesh, Belarus, Belize, Benin, Bolivia, Bosnia And Herzegovina, Botswana, Burundi, Cambodia, Cameroon, Central African Republic, Chad, China, Colombia, Comoros, The Democratic Republic Of The Congo, Congo, Republic Of The, Costa Rica, Cote D'Ivoire, Cuba, Djibouti, Dominican Republic, Ecuador, Egypt, El Salvador, Equatorial Guinea, Eritrea, Swaine (Swaziland), Ethiopia, The Gambia, Ghana, Guam, Guatemala, Guinea, Guinea-Bissau, Guyana, Haiti, Honduras, India, Iran, Iraq, Jamaica, Kenya, Korea, North, Kyrgyzstan, Laos, Latvia, Lebanon, Liberia, Libya, Macau, Macedonia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mexico, Moldova, Monaco, Montenegro, Mozambique, Myanmar, Nepal, Nicaragua, Niger, Nigeria, Pakistan, Palestinian Territories, Panama, Peru, Philippines, Puerto Rico, Qatar, Russia, Rwanda, Saint Kitts And Nevis, Samoa, Saudi Arabia, Serbia, Sierra Leone, Somalia, South Sudan, Sri Lank, Sudan, Syria, Tajikistan, Tanzania, Togo, Trinidad And Tobago, Tunisia, Turkey, Turkmenistan, Uganda, Ukraine, United Arab Emirates, Uzbekistan, Vanuatu, Venezuela, Vietnam, Use Virgin Islands, Yemen, Zimbabwe (List is subject to change)

# LC Equity Fund, Ltd. Application Form

- Bills and statements should be less than 6 months old unless the bill's typical term is annual for example home insurance.
- Mobile phone invoices not acceptable (*examples of acceptable bills are electricity, water, gas, landline, bin charges, home insurance etc.*)

(A) Investors who are located in Equivalent Jurisdictions	(B) Investors who are <u>NOT</u> located in Equivalent Jurisdictions
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Proof of identification for example passport.</p> <p>Proof of address for example utility bill or bank statement.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Proof of identification for example passport.</p> <p><u>Two different</u> proofs of address for example a utility bill and bank statement.</p>

## PART II - LLC

**LLCs should provide documentation as outlined in (A) or (B) below as appropriate:**

(A) LLCs located in an Equivalent Jurisdiction	(B) LLCs <u>NOT</u> located in an Equivalent Jurisdiction
<p>Copy documents acceptable (certified copies not required)</p> <p>Certificate of Formation or equivalent;</p> <p>Operating Agreement;</p> <p>Authorised signatory list;</p> <p>Names and addresses of the managing members;</p> <p>Identification documents for at least two managing members; Or one managing member and one authorised signatory (Identification documents as per an Individual as outlined in Part I (A) above);</p> <p>Names and addresses of any members who own more than 10% of the share capital, profit or voting rights.</p>	<p>Certified Copies of documents required, (original ink certified copies must be provided where the investor is located in a high risk jurisdiction)</p> <p>Certificate of Formation or equivalent;</p> <p>Operating Agreement;</p> <p>Authorised signatory list;</p> <p>Names and addresses of the Managing Members;</p> <p>Identification documents for at least two managing members; Or one managing member and one authorised signatory (Identification documents as per an Individual as outlined in Part I (B) above);</p> <p>Names and addresses of any members who own 10% or more of the share capital, profit or voting rights;</p> <p>Identification documents for members with 10% or more (Identification documents as per an Individual as outlined in Part I (B) above).</p>



# LC Equity Fund, Ltd. Application Form

<b>PART III- Companies</b>
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Companies should provide documentation as outlined in (A), (B) or (C) as appropriate:

**(A) Where the Company is listed on a Regulated Market <sup>6</sup> please provide the following;**

Please provide name and country of regulated stock exchange: \_\_\_\_\_

Copy of your latest authorised signatory list.

(B) Companies located in an Equivalent Jurisdiction	(C) Companies <u>NOT</u> located in an Equivalent Jurisdiction
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Certificate of Incorporation;</p> <p>Memorandum and Articles of Association or equivalent;</p> <p>Authorised signatory list;</p> <p>Names and addresses of Directors /Register of Directors;</p> <p>Identification documents for at least two directors; Or one director and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (A) above</i>);</p> <p>Names and addresses / Register of all Beneficial Owners with a holding of 10% or more.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Certificate of Incorporation;</p> <p>Memorandum and Articles of Association or equivalent;</p> <p>Authorised signatory list;</p> <p>Names and addresses of Directors/ Register of Directors;</p> <p>Identification documents for at least two directors; Or one director and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and addresses/ Register of all Beneficial Owners with a holding of 10% or more;</p> <p>Identification documents for all Beneficial Owners with a holding greater than 10% (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>).</p>

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<sup>6</sup> "Regulated Market" means public companies listed on a stock exchange which are subject to disclosure requirements to ensure adequate transparency of beneficial ownership and are located in an Equivalent Jurisdiction.

## PART IV - Partnerships

Partnerships should provide documentation as outlined in (A) or (B) below as appropriate:

<b>(A) Partnerships located in an Equivalent Jurisdiction</b>	<b>(B) Partnerships <u>NOT</u> located in an Equivalent Jurisdiction</b>
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Partnership Agreement or equivalent;</p> <p>Authorised signatory list;</p> <p>Names and addresses of all partners</p> <p>Identification documents for at least two partners*; Or one partner and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (A) above</i>);</p> <p>Names and addresses of any partners* with a partnership interest of 10% or more.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Partnership Agreement or equivalent;</p> <p>Authorised signatory list;</p> <p>Names and addresses of all partners;</p> <p>Identification documents for at least two partners*; Or one partner and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and addresses of any partners* with a partnership interest of 10% or more;</p> <p>Identification documents for partners* with a partnership interest of 10% or more (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>).</p>

\*For a Partnership which is a Fund with a General Partner, the General Partner should provide documentation in accordance with their legal form.

**PART V - Trusts**

**Trusts should provide documentation as outlined in (A), (B) or (C) below as appropriate:**

**(A) Where the Trustee is regulated in an Equivalent Jurisdiction please provide the following;**

Trust Deed, or equivalent constitutional document, which confirms the trustee exercises control of the trust;  
Please provide website where regulatory status of Trustee can be evidenced:

\_\_\_\_\_  
Please provide details of all Beneficial Owners of the trustee (in the absence of % ownership identify the controllers or Senior Managing Official)  
Authorised Signatory List.

<b>(B) Trusts located in an Equivalent Jurisdiction</b>	<b>(C) Trusts NOT located in an Equivalent Jurisdiction</b>
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Trust Deed, or equivalent constitutional document;</p> <p>Authorised Signatory List;</p> <p>Name and address of the settlor, grantor, protector or controller;</p> <p>Names and address of all trustees;</p> <p>Identification documents for at least two trustees; Or one trustee and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (A) above</i>);</p> <p>Names and address of all Beneficiaries of the Trust.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Trust Deed, or equivalent constitutional document;</p> <p>Authorised Signatory List;</p> <p>Name and address of the settlor, grantor, protector or controller;</p> <p>Identification documents for the settlor, protector or controller (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and address of all trustees;</p> <p>Identification documents for at least two trustees; Or one trustee and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and address of all beneficiaries of the Trust.</p> <p>Identification documents for any beneficiaries with a beneficial interest of 10% or more (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>).</p>

**PART VI – Funds / Collective Investment Schemes**

**Funds/Collective Investment Schemes should provide documentation as outlined in (A) or (B) as appropriate**

Note: For Funds which do not fall into either category below please provide documentation accordance with the Funds legal form for example Part III Companies or Part IV Partnerships.

(A) Funds regulated in an Equivalent Jurisdiction or listed on a Stock exchange in a Regulated Market	(B) Where the Funds Administrator is regulated in an Equivalent Jurisdiction
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Website where evidence of regulatory status or stock exchange listing can be evidenced:</p> <p>_____</p> <p>Copy of your latest authorised signatory list.</p>	<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Prospectus, or equivalent document;            Authorised signatory list;            Name and address of Fund Promoter;</p> <p>_____</p> <p>Name and address of Fund Administrator:</p> <p>_____</p> <p>Website where the Administrators regulatory status can be evidenced;            Letter from the Fund's Administrator confirming that they:</p> <ul style="list-style-type: none"> <li>○ Carry out AML checks upon the Fund investors;</li> <li>○ Confirmation of the AML legislation that they adhere to;</li> <li>○ Confirmation of who they are regulated and supervised by for AML.</li> </ul> <p>Names and addresses of all investors who own more than 10% of the Fund. (<i>Where the investor is an entity and not a natural person please provide the details of the ultimate beneficial owner who is a natural person</i>).</p>

## PART VII – Pension Schemes

Pension Schemes should provide documentation as outlined in (A), (B) or (C) as appropriate:

**(A) Registered Pension Schemes in an Equivalent Jurisdiction please provide the following;**

Proof of registration from the relevant Tax Authorities, Pensions Board or Pensions Regulator in an Equivalent Jurisdiction;

Written confirmation of the following points:

- The scheme provides retirement benefits to employees;
- Contributions are made by an employer or by way of deduction from an employee's wages ;
- The scheme rules do not permit the assignment of a members interest under the scheme

Authorised Signatory List.

<b>(B) Non registered Pension Schemes located in an Equivalent Jurisdiction</b>	<b>(C) Pension Schemes <u>NOT</u> located in an Equivalent Jurisdiction</b>
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Trust Deed, or equivalent constitutional document</p> <p>Authorised Signatory List</p> <p>Names and addresses of all Principals (<i>i.e. Trustees/Directors /Governors/Board Members or equivalent</i>)</p> <p>Identification documents for at least two Principals; Or one Principals and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (A) above</i>);</p> <p>Names and address of all Beneficial Owners entitled to 10% or more of the proceeds.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Trust Deed, or equivalent constitutional document;</p> <p>Authorised Signatory List;</p> <p>Names and addresses of all Principals (<i>i.e. Trustees/Directors/Governors/Board Members or equivalent</i>);</p> <p>Identification documents for at least two Principals; Or one Principals and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and address of all Beneficial Owners entitled to 10% or more of the proceeds;</p> <p>Identification documents for any Beneficial Owners of 10% or more (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>).</p>

**PART VIII – Charities /Foundations**

**Charities/ Foundations should provide documentation as outlined in (A), (B) or (D) as appropriate;**

**(A) Registered Charities in an Equivalent Jurisdiction please provide the following;**

Proof of registration from relevant Tax Authorities confirming tax exempt status, and/or evidence of registered status with public charities register (e.g. UK Charities Commission);

Names and address of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent);

Confirmation of the purpose of the charity and the class of individuals who stand to benefit from charities objectives: \_\_\_\_\_

Authorised Signatory List.

<b>(B) Non Registered Charities/Foundations located in an Equivalent Jurisdiction</b>	<b>(C) Charities/Foundations NOT located in an Equivalent Jurisdiction</b>
<p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Trust Deed/ constitutional or formation document;</p> <p>Authorised Signatory List;</p> <p>Names and addresses of all Principals (<i>i.e. Trustees/Directors/Governors/Board Members or equivalent</i>);</p> <p>Identification documents for at least two Principals; Or one Principals and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (A) above</i>);</p> <p>Names and address of all Beneficial Owners* entitled to 10% or more of the proceeds.</p>	<p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Trust Deed/Constitutional or formational document;</p> <p>Audited financial statements;</p> <p>Authorised Signatory List;</p> <p>Names and addresses of all Principals (<i>i.e. Trustees/Directors/Governors/Board Members or equivalent</i>);</p> <p>Identification documents for at least two Principals; Or one Principals and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>);</p> <p>Names and address of all Beneficial Owners entitled to 10% or more of the proceeds;</p> <p>Identification documents for any Beneficial Owners* of 10% or more (<i>Identification documents as per an Individual as outlined in Part I (B) above</i>).</p>

\* Where the charity is set up for a class of individuals please provide details of the Senior Managing Official of the Charity

**PART IX– Banks / Financial Institutions acting on their own behalf**

**Banks / Financial Institutions acting on their own behalf** should provide documentation outlined in section (A) or (B) below as applicable:

<p><b>(A) Banks / Financial Institutions which are regulated in an Equivalent Jurisdiction</b></p> <p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Please confirm details of web-site where evidence of regulation can be verified:</p> <p>_____</p> <p>Authorised signatory list.</p>	<p><b>(B) Banks / Financial Institutions which are <u>NOT</u> regulated in an Equivalent Jurisdiction</b></p> <p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Please provide documentation in accordance with your legal entity type for example Part III for a Company or Part IV for a Partnership.</p>
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**PART X – Financial Intermediaries /Nominee Companies**

**Financial Intermediaries or Nominee companies acting on behalf of a third party** should provide documentation as outlined in (A) or (B) below as appropriate:

<p><b>(A) Financial Intermediaries/Nominees or wholly owned subsidiaries of a regulated parent in an Equivalent Jurisdiction.</b></p> <p>Copy documents acceptable (<i>certified copies not required</i>)</p> <p>Is the Financial Intermediary is operating on a discretionary<sup>7</sup> or non-discretionary basis<sup>8</sup></p> <p>_____</p> <p>Please confirm details of web-site where evidence of regulation can be verified</p> <p>_____</p> <p>Authorised signatory list;</p> <p>An AML letter of comfort from the nominee/parent company signed by an authorised signature on headed paper. Please refer to template letter provided below.</p> <p>Please ensure the details of the Beneficial Owner(s) of the Intermediary/ Nominee Company have been completed in SECTION 1 B<sup>9</sup> above.</p>	<p><b>(B) Financial Intermediaries/Nominees <u>NOT</u> regulated or not a subsidiary of a parent regulated in an Equivalent Jurisdiction.</b></p> <p>Certified Copies of documents required, (<i>original ink certified copies must be provided where the investor is located in a high risk jurisdiction</i>)</p> <p>Is the Financial Intermediary is operating on a discretionary or non-discretionary basis</p> <p>_____</p> <p>Please provide documentation in accordance with your legal entity type for example Part III for a Company;</p> <p>Please provide documentation in accordance with the legal entity type of the <u>third party</u> you are transacting on behalf of, for example Part III where you are acting on behalf of a third party which is Company or Part I for an Individual.</p>
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<sup>7</sup> The financial intermediary directly purchases units of or shares in its own name and exercises control over the investment for the ultimate beneficial owners who do not control the investment or investment decisions

<sup>8</sup> The financial intermediary acts in its own name and is the registered owner of the shares or units but acts on instructions from, one or more third parties

<sup>9</sup> Please note the beneficial owners of the nominee company itself should be provided in Section 1 B (not the underlying investors/clients for which you are transacting on behalf)

## Template Nominee/Financial Intermediary letter

<To be completed on Company headed paper>

U.S. Bank Global Fund Services (Ireland) Limited  
Investor Onboarding team  
24-26 City Quay  
Dublin 2  
Ireland

Re: *Insert Name of Fund(s)* (the "Funds")

Dear Sir/Madam

***Insert Name of Nominee/Intermediary investor* (the "Nominee Company")**

We confirm that, (*insert name of regulated company/parent company*) (the "Company") with a registered office located at (*insert address*) are licensed as (*insert description*) by the (*insert regulatory body*) and are supervised and monitored for compliance with AML/CFT regulatory requirements in (*insert country*);

Where the Nominee/Intermediary is a wholly owned subsidiary of the Parent Company the Parent Company verifies that the investment(s) made in the name of the Nominee Company is at the direction of the Parent Company and the Parent Company makes the following representations' warranties and undertakings in respect to both the Parent and Nominee Company:

- (i) we have established AML/CFT policies, procedures and internal controls to ensure ongoing compliance with applicable AML/CFT and economic sanctions laws and regulations and FATF standards;
- (ii) our AML/CFT policies, procedures and internal controls incorporate systems and controls to identify and verify our customers, and their beneficial owners and controlling parties, and performs (i) appropriate risk-grading procedures to differentiate between customer due diligence for high and low risk relationships (ii) ongoing customer due diligence, (iii) regular AML/CFT monitoring and sanction screening, (iv) staff AML/CFT training and (v) detect, investigate and, as required, report any suspicious activities to the relevant authorities;
- (iii) we have systems and controls in place to identify Politically Exposed Persons, their relatives and close associates (PEPs) and we conduct enhanced due diligence, including establishing the source of wealth and the source of funds and enhanced ongoing monitoring on PEPs and other high risk customers.

With regard to customers who have invested via the Nominee Company, we hereby confirm;

- (iv) the accounts will only be operated by the Nominee and / or the Parent Company whom maintain ultimate, effective control over the account.
- (v) we have performed customer due diligence and identified and verified the beneficial owner(s), and controlling parties and have obtained the information on the purpose and the intended nature of the business relationship;
- (vi) To the best of our knowledge, we are unaware of any activities on the part of the customer(s), and their beneficial owners and controlling parties which could lead us to believe an involvement in criminal conduct money laundering or terrorist activities;
- (vii) we will retain documents and information on the customer(s), including any beneficial owner and controlling party, obtained as part of our customer identification and verification process for at least 5 years after the termination of their relationship with us;
- (viii) we will provide you with related customer due diligence documents and information, which we may have on our files relating to the identity of the customer(s) and beneficial owner(s) upon request
- (ix) none of the customer(s) including any beneficial owner or controlling party are subject to sanctions lists administered by the European Union, the United States, including OFAC, and the United Nations.

We further undertake to advise you immediately, should at any time in the future, (i) there be any change in any information provided above or (ii) our licence or registration as noted above, be revoked as permitted under applicable AML/CFT laws and regulations.

Yours faithfully,

Authorised Signatory: \_\_\_\_\_

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

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



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## FATCA & CRS Self-Certification Form For Individual and Joint Account Holders (Including Controlling Persons)

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To be completed by ALL Individual & Joint Account Holders PRIOR TO INVESTMENT

We are obliged under the U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) to collect certain information about each account holder's tax arrangements. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please review the Privacy Notice enclosed within the Application Pack. In addition, please note that we may be legally obliged to share this information, and other financial information with respect to an account holder's or Controlling Person's interests in the Company with the Company's local tax authority. They may in turn exchange this information and other financial information with foreign tax authorities including tax authorities outside the EU.

For further information on CRS please refer to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/>

### Instructions for completion

Please complete **all sections** below.

In the case of **joint account holders**, each account holder is required to complete a **separate Self-Certification Form**.

**Section 1, 2 and 3** must be completed by all account holders.

Controlling Persons must also complete **Section 4**.

It is the responsibility of the account holder or Controlling Person to ensure that information provided is complete and accurate and, to provide U.S. Bank Global Fund Services (Ireland) Limited (as the Company's Administrator) or the Company with any additional documentation or information when requested. If any of the information below about your tax residence or account holder's FATCA/CRS classification changes in the future, you are required to notify us of these changes promptly.

If you have questions about this form or defining your tax residency status, please speak to your tax adviser or local tax authority.

A glossary of some commonly used terms is included in this document for reference purposes only and does not constitute tax advice. Further information can be found on the OECD CRS Information Portal (Section VIII Defined Terms): <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

Please note failure to return a completed form within 90 days may result in the account being reported to the funds local tax authorities.

## Section 1: Account Holder/Controlling Person Identification

<b>Name</b>			
<b>Residential Address</b>			
<b>Mailing Address</b> <i>(If different to above)</i>			
<b>Country of Residence</b>			
<b>Country of Birth</b>		<b>Town or City of Birth</b>	
<b>Date of Birth (dd/mm/yyyy)</b>			

## Section 2: FATCA Declarations of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick (✓) (i), (ii) or (iii) below and complete as appropriate:

<input type="checkbox"/>	(i) I confirm that <b>I am</b> a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows: <b>U.S. TIN:</b> _____
<input type="checkbox"/>	(ii) I confirm that I was <b>born in the U.S.</b> (or a U.S. territory) but am no longer a U.S. citizen and/or resident in the U.S. for tax purposes as I have voluntarily surrendered my citizenship.  <i>(Please provide documentary evidence to support status claimed):</i> _____
<input type="checkbox"/>	(iii) I confirm that <b>I am not</b> a U.S. citizen and I am not a resident in the U.S. for tax purposes

## Section 3: CRS Declaration of Tax Residency /Residencies

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

For further guidance please refer to the OECD CRS information portal (<http://www.oecd.org/tax/automatic-exchange/>).

Please provide the place of Tax Residence (i.e. where you are liable to pay tax), the Tax ID Type, and the Tax ID Number for the country indicated.

Country of Tax Residence	Tax ID type	Tax ID Number

Note a TIN is required, if a TIN is unavailable, please tick (✓) (i), (ii) or (iii) and complete as appropriate.

<input type="checkbox"/>	(i) The country/jurisdiction where the account holder is resident does not issue TINs or TIN equivalents to its residents.
<input type="checkbox"/>	(ii) No TIN required.  <i>(Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction i.e. a non-participating jurisdiction such as the United States)</i>
<input type="checkbox"/>	(iii) The account holder is otherwise unable to obtain a TIN  <i>(Please explain why you are unable to obtain a TIN):</i>  _____

## Section 4: Type of Controlling Person (If applicable)

### 4.1 Please confirm if you are a Direct Account Holder or a Controlling Person:

<input type="checkbox"/>	I am a Direct Account Holder/Joint Account Holder
<input type="checkbox"/>	I am a Controlling Person of an Entity

## 4.2 Please select one of the following (ONLY to be completed by Controlling Persons)

**ONLY** to be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating jurisdiction and managed by another Financial Institution.

Where there is more than one Controlling Person please use a separate Self-Certification form for **each** Controlling Person

**Please confirm the type of Controlling Person applicable under CRS that applies to you/the account holder by ticking the appropriate box**

	Type of Controlling Person	Entity Name
<input type="checkbox"/>	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	

## Section 5: Declaration and Undertakings

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

I acknowledge and consent to the fact that the information contained in this form and information regarding the account holder or Controlling Person 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 holders or Controlling Person 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 within 30 days 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.

### Data Protection- Customer Information Notice

#### Common Reporting Standard (CRS)

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

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

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

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

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

#### Foreign Account Tax Compliance Act (FATCA)

FATCA was signed into law by U.S. Congress on 18 March 2010. FATCA requires Foreign Financial Institutions ("FFI"s) located in countries which have entered into an Intergovernmental Agreement with the U.S., to exchange financial account information on U.S. Citizens and U.S. Tax Residents (U.S. Specified Persons) with the U.S. Inland Revenue Service ("IRS").

FFIs are required to conduct due diligence and gather information on account holders (and in particular situations, information in relation to relevant Controlling Persons of such account holders) and exchange such information to the relevant tax authority where the account is held, who will in turn share the information with the IRS.

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

#### General Data Protection Regulation

The General Data Protection Regulation ("GDPR") harmonizes and modernizes data protection laws across the EU. The law is the next step of the Member States to enforce the right to privacy of European citizens and residents. The regulation addresses concerns around data breaches and governs the processing and use of personal data by organizations. Please read and familiarise yourself with the Privacy Notice enclosed within the Application Pack. By signing below, you confirm that you agree with the collection of your data for the purposes of your investment in the Company.

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

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

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

Capacity (If Controlling Person): \_\_\_\_\_

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**FATCA & Common Reporting Standard  
Self-Certification Form  
For ALL Entities**

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**To be completed by ALL Entities PRIOR to investment  
(Including trusts, companies, partnerships & financial institutions)**

We are obliged under the U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) to collect certain information about each account holder's tax arrangements. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please review the Privacy Notice enclosed within the Application Pack. In addition, please note that we may be legally obliged to share this information, and other financial information with respect to an account holder's or Controlling Person's interests in the Company with the Company's local tax authority. They may in turn exchange this information and other financial information with foreign tax authorities including tax authorities outside the EU.

For further information on CRS please refer to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/>

**Instructions for completion**

**Section 1, 2, 4, 5 and 7** must be completed by all account holders

**Section 3** FATCA Classification only applies to NON U.S. Persons

**Section 6** is to be completed by entities which are Passive Non Financial Entities or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

**Nominees/Intermediaries/Custodians (the "Intermediary"):** *Where shares are held by an Intermediary which is a Reporting Model 1 Financial Institution (FI), this form should be completed by Intermediary itself rather than the underlying client. The Intermediary as a reporting FI will be responsible for FATCA/CRS tax reporting on the underlying client.*

It is the responsibility of the account holder or Controlling Person to ensure that information provided is complete and accurate and, to provide U.S. Bank Global Fund Services (Ireland) Limited (as Company administrator) or the Company with any additional documentation or information when requested. If any of the information below about your tax residence or account holder's FATCA/CRS classification changes in the future, you are required to notify us of these changes promptly.

*If you have questions about this form or defining your tax residency status, please speak to your tax adviser or local tax authority.*

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

A glossary of some commonly used terms is included in this document for reference purposes only and does not constitute tax advice. Further information can be found on the OECD CRS Information Portal (Section VIII Defined Terms): <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

## Section 1: Account Holder's Identification (to be completed by all entity types)

<b>Account Holder's Name</b> <i>(the "Entity")</i>	
<b>Registered Address</b>	
<b>Mailing Address</b> <i>(If different to above)</i>	
<b>Country of Incorporation/Organisation</b>	

## Section 2: FATCA U.S. Declarations

Please tick (✓) (i),(ii) or (iii) below and complete as appropriate:

<input type="checkbox"/>	(i) The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows: <b>U.S. TIN:</b> _____
<input type="checkbox"/>	(ii) The Entity is a <b>US person but not a Specified U.S. Person</b> (Please also complete Sections 4 & 5) (Indicate exemption): _____
<input type="checkbox"/>	(iii) The Entity is <b>not a Specified U.S. Person</b> (Please also complete Sections 3, 4 and 5)

## Section 3: FATCA Classifications

All Non U.S. entities should have a FATCA classification, please note your FATCA classification may differ from your CRS classification in Section 5.

All Financial Institutions should complete 3.1 or 3.2 as appropriate all other entities should complete 3.3

Note: this section does not need to be completed if the entity is a U.S. Person per 2(a) or 2(c) above.

### 3.1 Financial Institutions under FATCA (with a GIIN):

Please provide the Entity's Global Intermediary Identification Number (GIIN):

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

Please tick the appropriate FATCA classification below:

<input type="checkbox"/>	<b>(i) Model 1 IGA Partner Jurisdiction Financial Institution (Model 1 Reporting FFI)</b>
<input type="checkbox"/>	<b>(ii) Registered Deemed Compliant Foreign Financial Institution</b>
<input type="checkbox"/>	<b>(iii) Participating Foreign Financial Institution</b>
<input type="checkbox"/>	<b>(iv) Limited Financial Institution</b>

## 3.2 Financial Institutions under FATCA (without a GIIN)

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

<input type="checkbox"/>	<p><b>(i) GIIN not yet obtained but is sponsored by another entity which does have a GIIN*</b> Please provide the sponsor's name and sponsor's GIIN:</p> <p>Sponsor's Name: _____</p> <p>Sponsor's GIIN: _____</p> <p><i>*this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p>
<input type="checkbox"/>	<p><b>(ii) Exempt Beneficial Owner:</b></p> <p>Please tick and confirm the category of Exempt Beneficial Owner;</p> <p><input type="checkbox"/> Government Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Foreign Central Bank</p> <p><input type="checkbox"/> Exempt Retirement Fund</p> <p><input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p>
<input type="checkbox"/>	<p><b>(iii) Certified Deemed Compliant Foreign Financial Institution</b></p> <p><i>(Including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</i></p> <p>Indicate exemption: _____</p>
<input type="checkbox"/>	<p><b>(iv) Non-Participating Foreign Financial Institution (NPFFI)</b></p>
<input type="checkbox"/>	<p><b>(v) Excepted Foreign Financial Institution</b></p> <p>Indicate exemption: _____</p>
<input type="checkbox"/>	<p><b>(vi) Trustee Documented Trust. Please provide your Trustee's name and GIIN</b></p> <p>Trustee's Name: _____</p> <p>Trustee's GIIN: _____</p>



### 3.3. Non-Financial Institutions (Non-Financial Foreign Entity (NFFE)) under FATCA:

If the Entity is **not** a Financial Institution, please tick the Entity's FATCA classification below:

<input type="checkbox"/>	<b>(i) Active Non-Financial Foreign Entity (NFFE)</b>
<input type="checkbox"/>	<b>(ii) Passive Non-Financial Foreign Entity (NFFE)</b> <i>(Please tick the box that applies)</i>  <input type="checkbox"/> with <b>no</b> Controlling Persons that are specified U.S Person <input type="checkbox"/> <b>with</b> Controlling Persons that are specified U.S Persons. <i>(If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in <b>section 6</b> below and separately complete and include self-certification forms for each of your Controlling Persons)</i>
<input type="checkbox"/>	<b>(iii) Excepted Non-Financial Foreign Entity (NFFE)</b>
<input type="checkbox"/>	<b>(iv) Direct Reporting Non-Financial Foreign Entity (NFFE)</b>  Please provide your GIIN: _____

### Section 4: CRS Declaration of Tax Residency/Residencies

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

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 Residence	Tax ID type	Tax ID Number

Note a TIN is required, If a TIN is unavailable, please provide a reason as follows:

<input type="checkbox"/>	(i) The country /jurisdiction where the account holder is resident does not issue TINs or TIN equivalents to its residents.
<input type="checkbox"/>	(ii) No TIN required. <i>(Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country / jurisdiction i.e. a non- participating jurisdiction such as the United States)</i>
<input type="checkbox"/>	(iii) The account holder is otherwise unable to obtain a TIN <i>(Please explain why you are unable to obtain a TIN):</i> _____

## Section 5: CRS Classifications

All account holders must disclose their CRS classification by completing Section 5.1 or 5.2 as appropriate. Financial Institutions should complete section 5.1 and Non-financial entities should complete section 5.2

Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition, please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

### 5.1 Financial Institutions under CRS:

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

Note: A list of participating jurisdictions can be found at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction/>

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

## 5.2 Non-Financial Institution (Non-Financial Foreign Entity/NFE) under CRS:

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

<input type="checkbox"/>	<p><b>(i) Active Non-Financial Entity (NFE)</b> – a corporation the stock of which is regularly traded on an established securities market.</p> <p>Please provide the name of the established securities market on which the corporation is regularly traded:</p> <p>_____</p> <p>_____</p>
<input type="checkbox"/>	<p><b>(ii) Active Non-Financial Entity (NFE)</b> – if you are a Related Entity of a regularly traded corporation.</p> <p>Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:</p> <p>_____</p> <p>Please provide details of the securities market that the entity is listed on :</p> <p>_____</p>
<input type="checkbox"/>	<p><b>(iii) Active Non-Financial Entity (NFE)</b> – a Government Entity or Central Bank</p>
<input type="checkbox"/>	<p><b>(iv) Active Non-Financial Entity (NFE)</b> – an International Organization</p>
<input type="checkbox"/>	<p><b>(v) Active Non-Financial Entity (NFE)</b> – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)</p>
<input type="checkbox"/>	<p><b>(vi) Passive Non-Financial Entity (NFE)</b> - (if this box is ticked, please also <b>complete Section 6 Controlling Person(s)</b> below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s)</p>

## Section 6: Controlling Person(s)

**This section need only be completed by entities which are Passive Non Financial Entities or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

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

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

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

**N.B** Please note that each Controlling Person must complete a Separate Individual Self-Certification form.

(i)	
(ii)	
(iii)	

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

### 6.2 Complete a separate Individual (Controlling Person's) Self-Certification for FATCA and CRS (starting on page 25) for each Controlling Person listed in Section 6.1.

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## Section 7: 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, true, correct, and complete.

**I acknowledge and consent** to the fact that the information contained in this form and information regarding the account holder and any Controlling Persons 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 and any Controlling Persons may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

I/We hereby confirm that I/we is/are duly authorised to sign this declaration on behalf of the account holder.

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

**Title/Capacity:** \_\_\_\_\_

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

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

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

**Title/Capacity:** \_\_\_\_\_

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

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

The following supporting glossary of terms is for reference purposes only and does not constitute tax advice. Please note that local legislation may define the meaning of certain terms differently. Clients should consider such local legislation and seek appropriate external tax advice, where necessary.

<p><b>Active Non-Financial Foreign Entity (Active NFFE) (FATCA)</b>          *Please note that this definition differs under CRS. Please see CRS definition below.</p>	<p>An “Active NFFE” means any NFFE that meets any of the following criteria:</p> <ul style="list-style-type: none"> <li>a) Less than 50 percent of the NFFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</li> <li>b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market;</li> <li>c) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;</li> <li>d) The NFFE is a non-U.S. government, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;</li> <li>e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</li> <li>f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;</li> <li>g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;</li> <li>h) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;</li> </ul> <p><b>Or</b></p> <ul style="list-style-type: none"> <li>i) The NFFE meets all of the following requirements:             <ul style="list-style-type: none"> <li>a. It is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, or educational purposes;</li> <li>b. It is exempt from income tax in its country of residence;</li> <li>c. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>d. The applicable laws of the Entity’s country of residence or the Entity’s formation documents do not permit any income or assets of the Entity to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the Entity’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the Entity has purchased;</li> </ul> </li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>e. The applicable laws of the Entity’s country of residence or the Entity’s formation documents require that, upon the Entity’s liquidation or dissolution, all of its assets be distributed to a governmental Entity or other non-profit organization, or escheat to the government of the Entity’s country of residence or any political subdivision thereof.</li> </ul>
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<p><b>Active Non-Financial Entity (Active NFE) (CRS)</b></p>	<p>An “Active NFE” means any NFE that meets any of the following criteria:</p> <ul style="list-style-type: none"> <li>a) Less than 50 percent of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</li> <li>b) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is traded on an established securities market;</li> <li>c) The NFE is a Governmental Entity, an International Organization, a Central Bank or an Entity wholly owned by one or more of the foregoing;</li> <li>d) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</li> <li>e) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;</li> <li>f) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;</li> <li>g) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;</li> </ul> <p><b>Or</b></p> <ul style="list-style-type: none"> <li>h) The NFFE meets all of the following requirements: <ul style="list-style-type: none"> <li>a. It is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, or educational purposes;</li> <li>b. It is exempt from income tax in its country of residence;</li> <li>c. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>d. The applicable laws of the Entity’s country of residence or the Entity’s formation documents do not permit any income or assets of the Entity to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the Entity’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the Entity has purchased;</li> </ul> </li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>e. The applicable laws of the Entity’s country of residence or the Entity’s formation documents require that, upon the Entity’s liquidation or dissolution, all of its assets be distributed to a governmental Entity or other non-profit organization, or escheat to the government of the Entity’s country of residence or any political subdivision thereof.</li> </ul>
<p><b>Certified Deemed-Compliant FFI</b></p>	<p>A type of deemed-compliant FFI that is not required to register with the IRS as described in in §1.1471-5(f)(2) of the U.S. Treasury Regulations or that is otherwise treated as a deemed-compliant FFI under Annex II of an IGA. In order to qualify as a certified deemed-compliant FFI, an entity must meet the requirements to qualify as one of the following types of FFIs: (i) non-registering local bank; (ii) FFI with only low value accounts; (iii) sponsored, closely held investment vehicle; (iv) limited life debt investment entity; or (v) any non-reporting IGA FFI; or (vi) any other Deemed Compliant FFI as may be described in an Annex II of an IGA.</p>
<p><b>Common Reporting Standard</b></p>	<p>The standard for automatic exchange of financial account information developed by the OECD, with G20 countries, presented to the G20 in 2014 and published on the OECD website.</p>

<b>Controlling Person(s)</b>	<p>The term “Controlling Persons” means:</p> <ol style="list-style-type: none"> <li>The natural persons who exercise control over an entity.</li> <li>In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust.</li> <li>In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.</li> </ol> <p>The term “Controlling Persons” shall be interpreted in a manner consistent with the Recommendations of the Financial Action Task Force.</p>
<b>Crown Dependencies and Overseas Territories (CDOT)</b>	Crown Dependencies include Jersey, Guernsey, Isle of Man and Overseas Territories include Cayman Islands, Bermuda, Montserrat, Turks & Caicos, British Virgin Islands, Anguilla and Gibraltar.
<b>Direct Reporting Non-Financial Foreign Entity (Direct Reporting NFFE)</b>	A Direct Reporting NFFE is an entity as described in the U.S. Treasury Regulations that chooses to register with the IRS and elects to report information about its direct or indirect substantial U.S. owners to the IRS. A Direct Reporting NFFE will also be required to register with the IRS to obtain its Global Intermediary Identification Number (GIIN).
<b>Exempt Beneficial Owner</b>	An exempt beneficial owner means any person or entity as described in §1.1471-6(b) through (g) of the U.S. Treasury Regulations or that is otherwise treated as an exempt beneficial owner pursuant to an IGA. Some examples include Governmental entities, International Organizations, Central Banks, or Retirement Funds. Exempt Beneficial Owners are Non-Reporting Financial Institutions.
<b>Excepted Non-Financial Foreign Entity (Excepted NFFE)</b>	Excepted NFFEs include: (i) publicly traded corporations and affiliates; (ii) territory entities; (iii) exempt beneficial owners (foreign governments and their wholly owned agencies and instrumentalities, international organisations, central banks of issue, governments of U.S. territories, certain non-U.S. retirement funds, entities wholly owned by exempt beneficial owners, and any entity treated as an exempt beneficial owner under an IGA); (iv) Active NFFEs.
<b>FATCA</b>	Foreign Account Tax Compliance Act is a U.S. information reporting regime aimed at foreign (non-U.S.) financial institutions.
<b>Foreign Financial Institution (FFI)</b>	Any entity that is not a U.S. Person and as described in §1.1471-5(d) of the U.S. Treasury Regulations or as otherwise described in an IGA. Includes Custodial Institutions, Depository Institutions, Investment Entities, Specified Insurance Companies and under the U.S. Treasury Regulations also Relevant Holding Companies or Treasury Companies or any other entity otherwise described in an IGA.
<b>Global Intermediary Identification Number (GIIN)</b>	The identification number that is assigned to participating FFIs registered deemed-compliant FFIs, and reporting 'Model 1' FFIs.
<b>Intergovernmental Agreement (IGA) – U.K.</b>	Means an Intergovernmental Agreement entered into between the U.K and its Crown dependencies and Overseas Territories CDOT. The U.K. has adopted a similar approach to a U.S. Model 1 IGA, requiring FIs located in CDOTs to report equivalent information on financial accounts held by Specified U.K. Person to the partner jurisdictions government, followed by automatic exchange of reported information to the HM Revenue & Customs (HMRC).
<b>Investment Entity</b>	<p>Any entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:</p> <ul style="list-style-type: none"> <li>▶ trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;</li> <li>▶ individual and collective portfolio management; or</li> <li>▶ otherwise investing, administering, or managing funds or money on behalf of other persons.</li> </ul>
<b>Limited Foreign Financial Institution (Limited FFI)</b>	Limited FFI as described in the U.S. Treasury Regulations is an FFI that is a member of an expanded affiliated group that cannot comply with FATCA because of the laws of its jurisdiction but agrees to a conditional status.
<b>Model 1 IGA Partner Jurisdiction Financial Institution – U.S.</b>	This is a FFI in a Model 1 IGA jurisdiction that performs account holder reporting to the jurisdiction’s government for the purposes of FATCA. Model 1 IGA means an agreement between the U.S. and a partner jurisdiction to implement FATCA through reporting by FFIs to such government, followed by automatic



	exchange of reported information with the IRS. FFIs located in Model 1 Jurisdictions will also be required to register with the IRS to obtain its Global Intermediary Identification Number (GIIN) by January 1 <sup>st</sup> 2015.
<b>Non-Participating FFI (NPFFI)</b>	An FFI that is not a participating FFI, a deemed-compliant FFI or an exempt beneficial owner.
<b>Participating Foreign Financial Institution (PFFI)</b>	An FFI that has agreed to comply with the requirements of an FFI agreement, including an FFI described in a 'Model 2' IGA. The term also includes a Qualified Intermediary branch of a U.S. financial institution, unless the branch is a reporting 'Model 1' FFI.
<b>Passive Non-Financial Foreign Entity (Passive NFFE) (FATCA)</b> *Please note that this definition differs under CRS.	An NFFE that is not an Active NFFE.
<b>Passive Non-Financial Entity (Passive NFE) (CRS)</b>	(I) AN NFE that is not an Active NFE; and (II) an Investment Entity described in subparagraph A(6)(b)Section VIII of the CRS.
<b>Registered Deemed-Compliant FFI</b>	A type of deemed-compliant FFI as described in §1.1471-5(f)(1) of the U.S. Treasury Regulations that is required to register with the IRS, but not required to enter into an FFI agreement. A deemed-compliant FFI must meet certain criteria. There are many different types of registered deemed-compliant FFIs: (i) local FFIs; (ii) non-reporting members of participating FFI groups; (iii) qualified collective investment vehicles; (iv) restricted funds; (v) qualified credit card issuers; (vi) sponsored investment entities and controlled foreign corporations; and (vii) any FFI, branch of an FFI that is a reporting 'Model 1' FFI that complies with the registration requirements of a 'Model 1' IGA.
<b>Specified Insurance Company</b>	Any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.
<b>Specified U.K. Person</b>	A person or entity who is resident in the United Kingdom for tax purposes and includes a person or Entity who is resident in both the United Kingdom and a Crown Dependency or Overseas Territory, under the respective domestic law of each Party, other than: <ul style="list-style-type: none"> <li>▶ A corporation the stock of which is regularly traded on one or more established securities markets;</li> <li>▶ A corporation that is a member of the same affiliated group, as defined in Section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described above;</li> <li>▶ A Depository Institution;</li> <li>▶ A broker or dealer in securities, commodities, or derivative financial instruments (including notional principle contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom; or</li> <li>▶ A Non-Reportable United Kingdom Entity</li> </ul>
<b>Specified U.S. Person</b>	Any U.S. Person other than: <ul style="list-style-type: none"> <li>▶ A corporation, the stock of which is regularly traded on one or more established securities markets or a corporation that is a member of the same expanded affiliated group as such publicly traded corporation.</li> <li>▶ Any organisation exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37).</li> <li>▶ The United States or any wholly owned agency or instrumentality thereof.</li> <li>▶ Any state, any U.S. territory, any political subdivision or any wholly owned agency of the foregoing.</li> </ul>

	<p>And, as defined in the Internal Revenue Code:</p> <ul style="list-style-type: none"> <li>▶ Any bank.</li> <li>▶ Any real estate investment trust.</li> <li>▶ Any regulated investment company or any entity registered with the SEC under the Investment Company Act.</li> <li>▶ Any common trust fund.</li> <li>▶ Any trust that is exempt from tax under IRC Section 664(c) or is described in Section 4947(a)(1).</li> <li>▶ A dealer in securities, commodities or derivative financial instruments that is registered as such under the laws of the U.S.</li> <li>▶ A broker.</li> <li>▶ Any tax exempt trust under a section 403 (b) plan or section 457 (g) plan.</li> </ul>
<b>TIN</b>	The Term "TIN" means Taxpayer Identification Number (or functional equivalent in the absence of a Taxpayer Identification Number).
<b>U.S. Person</b>	<p>The term 'United States person' means:</p> <ul style="list-style-type: none"> <li>▶ A citizen or resident of the United States.</li> <li>▶ A partnership organized in the United States or under the laws of the United States or any State thereof.</li> <li>▶ A corporation organized in the United States or under the laws of the United States or any State thereof.</li> <li>▶ Any estate of a decedent that is a citizen or resident of the United States.</li> <li>▶ Any trust if (i) a court within the United States is able to exercise primary supervision over the administration of the trust, and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.</li> </ul>
<b>U.S. Resident</b>	A U.S. resident includes someone who has a lawful permanent resident status in the United States (e.g., a 'green card' holder) or someone who is considered a U.S. taxpayer under the substantial presence test contained in the Internal Revenue Code.

**IF YOU ARE UNABLE TO COMPLETE ANY PART OF THIS FORM  
PLEASE CONTACT THE ADMINISTRATOR ON +353 1 523 8290**

## Privacy Notice

### Why are you receiving this notice?

The General Data Protection Regulation (“**GDPR**”) applies to the collection, processing and storage of personal data undertaken by organisations within the European Economic Area (EEA), as well as to organisations outside the EEA that handle personal data relating to the offering of services to individuals in the EEA. As the Company is offered to individuals in the EEA, its processing of personal data related to such offering will be subject to the GDPR.

The GDPR has two key purposes: (a) to set guidelines for the collection, processing and protection of personal data and (b) to give individuals certain rights in relation to their personal data (such as to access and correct it and object to further processing).

This Privacy Notice is intended to ensure that the investor (“**you**”, or “**your**”) is aware of how the Company may collect personal data, what is collected, what it is used for and with whom it is shared in accordance with the GDPR.

“Personal data” means any information relating to you, but does not include data where you can no longer be identified from it such as anonymised aggregated data.

The Company will be the data controller of your personal data provided in connection with your investment in the Company. Limmat Capital Alternative Investments AG (the “**Investment Manager**”) may be a data controller in respect of certain activities it undertakes as investment manager of the Company (e.g. where it undertakes marketing activities by making suggestions to you about products or services that may be of interest to you), but it will otherwise be a data processor. In addition, U.S. Bank Global Fund Services (Ireland) Limited (the “**Administrator**”) may be a data controller in respect of certain activities it undertakes to discharge its obligations under its service agreement with the Company or for risk oversight, monitoring, analysis and auditing of its business and IT systems. All rights afforded to you under GDPR in circumstances where the Administrator is a data controller of your personal data will be exercisable by you solely against the Administrator who is contactable at the address stated in the offering document of the Company. A data controller is responsible for deciding how to hold and use personal data about you. The Company may process your personal data itself or through a third party such as the Administrator, the Investment Manager and/or others acting as data processors on the Company’s behalf (each a “**Processor**”).

The Company may provide supplemental privacy notices on specific occasions when collecting or processing personal data about you so that you are fully aware of how and why your personal data is being used. These supplemental notices should be read together with this Privacy Notice.

If you have any questions about this Privacy Notice you can contact the Investment Manager at [privacy@limmat.capital](mailto:privacy@limmat.capital).

### What information does the Company collect about you and what is it used for?

Personal data held by the Company or on the Company’s behalf may include, but is not necessarily limited to, your name, residential address, place of business, email address, other contact details, corporate contact information, signature, nationality, country of residence, place of birth, date of birth, tax identification, tax jurisdiction, employment and job history, education details, regulatory status, credit history, correspondence records, passport number, bank account details, certain financial information contained within KYC documents, source of funds and details relating to your investment activity or preferences.

The purposes for which the Company or its service providers on its behalf may collect, store and use personal data about you and the ‘lawful basis’ for processing such data are set out in the table below. The law specifies certain ‘lawful bases’ for which the Company is allowed to use your personal data.

Purpose	Lawful basis for processing
To undertake pre-investment steps, including, but not limited to: <ul style="list-style-type: none"> <li>• determining your eligibility to invest in the Company;</li> <li>• required due diligence; and</li> <li>• ascertaining your investment preferences.</li> </ul>	In order to take steps prior to the contract between you and the Company, compliance with applicable legal obligations and the Company’s legitimate interests in establishing your preferred investment strategies.
To undertake business development and marketing activities. This may include direct electronic marketing.	The legitimate interests of the Company and/or the Investment Manager in promoting their products and services and growing their business.  The Company and/or the Investment Manager only send direct electronic marketing where individuals have consented to this or as otherwise permitted by the law. Individuals can opt-out of receiving

Purpose	Lawful basis for processing
	such messages at any time by contacting <a href="mailto:privacy@limmat.capital">privacy@limmat.capital</a> in respect of the Investment Manager's and the Company's marketing.
To facilitate the opening of accounts with the Company, the management and administration of each investment in the Company and any related account on an on-going basis as considered necessary or appropriate for the performance of a contract with the Company, including without limitation the processing of subscription, redemption, conversion and transfer requests and the payment of distributions.	The performance of your contract with the Company as an investor.
To carry out anti-money laundering checks and related actions considered appropriate to meet any legal obligations relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's anti-money laundering procedures.	Compliance with applicable legal obligations and the Company's legitimate interests in complying with law and regulation applicable to the Company and its Processors.
To report tax related information to tax authorities.	Compliance with applicable legal obligations.
Corresponding with parties such as the Investment Manager, the Administrator, depository, auditor, legal counsel and other service providers of the Company and/or the Investment Manager such as regulatory authorities to comply with any legal obligation imposed on the Company, the Investment Manager and/or the Administrator or in order to pursue the legitimate business interests of the Company, the Investment Manager and/or the Administrator.	Compliance with applicable legal obligations.  The legitimate interests of the Company, the Investment Manager and the Administrator in conducting their business in a proper manner.
Monitoring and recording calls and other communications related to the processing and verification of instructions, quality and business analysis, compliance with applicable laws and regulations, maintaining the Company's, the Investment Manager's and the Administrator's rights and responsibilities directly or through third party delegates.	The legitimate interests of the Company, the Investment Manager and the Administrator in maintaining relations with investors and in conducting their business in a proper manner.  Compliance with applicable legal obligations.
To maintain the Company's records and carry out fee calculations.	The performance of your contract with the Company as an investor.  The legitimate interests of the Company, the Investment Manager and the Administrator in complying with their contractual obligations and conducting their business in a proper manner.
To provide investor relations in respect of the Company, including provision of periodic reporting, seeking consents for changes to the Company's terms and for other corporate governance purposes.	The performance of your contract with the Company and/or the Investment Manager as an investor.  Compliance with applicable legal obligations.

In addition to the uses above, please note that the Company may also process your information where required by law to do so or if it reasonably believes that it is necessary to protect its rights and/or to comply with judicial or regulatory proceedings, a court order or other legal process.

## Special categories of personal data

There are more limited bases for processing special category personal data. This is personal data which reveals or contains racial or ethnic origin, political opinions, religious and philosophical beliefs, trade union membership, genetic data, biometric data, health data, sex life and sexual orientation.

The Company does not intend to actively collect special category data about you. Whilst the Company will use reasonable efforts to limit its holding of such data, please be aware that the Company may hold such data incidentally. For example, where:

- you volunteer special category data to the Company or one of its Processors, such as if you send an email containing special category data;
- documents gathered for legal / regulatory purposes containing special category data, such as a passport copy which references ethnic origin or a due diligence search from public sources which includes special category data.
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## What if you do not provide the personal data requested?

In some circumstances, if you do not provide the Company with certain information when requested, the Company may be limited or restricted in its ability to deal with you and may in some cases be prevented from complying with its legal obligations. Where the Company requires your personal information to comply with anti-money laundering or other legal requirements, failure to provide this information means the Company may not be able to accept you or retain you as an investor.

## Change of purpose

The Company will only use your personal data for the purposes for which it was collected (as identified above in the 'Purpose' column above), unless it reasonably considers that such data needs to be used for another reason which is compatible with the original purpose. If the Company needs to use your personal data for an unrelated purpose, the Company will notify you and explain the legal basis relied upon.

## **How is this information collected?**

The Company typically collects personal data about you when you provide information to the Company or others acting on the Company's behalf (such as the Investment Manager, the Administrator or other service providers to the Company) when communicating or transacting with the Company in writing, electronically, or by phone. For instance, applications, requests for Company documentation or other forms of literature, your transactions and account positions.

In addition, the Company may receive personal information about you from third parties, such as:

- public sources or information vendors;
- your bank;
- your legal, financial, tax or other professional advisers;
- introducers, distributors or other intermediaries who market or provide services to you.

## **With whom will your information be shared?**

The Company may share your personal data with a third party where this is required by law, where it is necessary to perform the contract with you, or where the Company has another legitimate interest in doing so.

The Company or its Processors may need to share your personal data with:

- the Investment Manager and other members of the Investment Manager group;
- the Administrator and its affiliates;
- professional advisers including lawyers, bankers, auditors and insurers to the extent such information is relevant to their performance of their services;
- regulators;
- tax authorities;
- custodians/depositaries;
- trading counterparties;
- parties undertaking anti-money laundering checks; and
- any of the Company's other service providers where such information is relevant to their performance of such services.

Where your investment in the Company was sold, introduced, distributed or otherwise arranged by an introducer, distributor or other intermediary, the Company may share your personal data with that introducer, distributor or other intermediary.

The Company may also need to share your personal data with a regulator or to otherwise comply with applicable law or judicial process or if it reasonably believes that disclosure is necessary to protect its rights and/or to comply with judicial or regulatory proceedings, a court order or other legal process.

As the Company is domiciled in the Cayman Islands, any personal data that the Company collects about you may be processed in the Cayman Islands for the performance of the Company's contract with you.

The Company or its Processors may also transfer the personal data collected about you to other non-EEA countries, including in particular Bermuda, Canada, Singapore, Switzerland, the Kingdom of the Netherlands, the Philippines, and the United States of America, where the parties listed above are based for the purposes outlined in the table above. Those countries may not have the same standard of data protection laws as the EEA.

Where this is the case, the Company will (or will require a Processor to) put in place appropriate safeguards such as the EEA-approved standard contractual clauses to ensure that your personal data is treated in a manner that is consistent with and respects the EEA laws on data protection. If you require further information about this you can request it from [privacy@limmat.capital](mailto:privacy@limmat.capital).

## How long will your information be retained?

The Company will retain your personal data for as long as necessary to fulfil the purposes for which it was collected, including for the purposes of satisfying any legal, regulatory, accounting or reporting requirements and the Company's legitimate interests in maintaining such personal data in its records. This will normally include any period during which the Company is dealing or expects to deal with you and what the Company considers to be a suitable period thereafter for internal record-keeping purposes. In doing this the Company will have regard to the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which the Company processes your personal data and whether those purposes can be achieved through other means, and the applicable legal requirements. Generally, the Company will keep information relevant to its dealings with you for 7 years following full redemption.

In some circumstances your personal data may be anonymised so that it can no longer be associated with you, in which case it is no longer personal data.

Once the Company no longer requires your personal data for the purposes for which it was collected, it will securely destroy your personal data in accordance with applicable laws and regulations.

## Accuracy of information

It is important that the personal data held about you is accurate and current. Please let [email address] know if your personal data held by the Company changes during your relationship with the Company.

## Your rights in relation to your information

You have rights as an individual which you can exercise in relation to the information held about you under certain circumstances. These rights are to:

- request **access** to your personal data (commonly known as a "data subject access request") and request certain information in relation to its processing;
- request **rectification** of your personal data;
- request the **erasure** of your personal data;
- request the **restriction** of processing of your personal data;
- **object** to the processing of your personal data; and
- request the **transfer** of your personal data to another party.

In exercising your rights above, you may be required to redeem/withdraw (as applicable) from the Company.

If you want to exercise one of these rights please contact [privacy@limmat.capital](mailto:privacy@limmat.capital).

You also have the right to make a complaint at any time to a supervisory authority for data protection issues.

## Fees

You will not usually have to pay a fee to access your personal data (or to exercise any of the other rights). However, the Company may charge a reasonable fee if your request for access is manifestly unfounded or excessive. Alternatively, the Company may refuse to comply with the request in such circumstances.

## What the Company may need from you

The Company may need to request specific information from you to help confirm your identity and verify your right to access the information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal data is not disclosed to any person who has no right to receive it.

## **Right to withdraw consent**

In the limited circumstances where you may have provided your consent to the collection, processing and transfer of your personal data for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact [privacy@limmat.capital](mailto:privacy@limmat.capital). Once the Company or the Investment Manager, as applicable, has received notification that you have withdrawn your consent, the Company will no longer process your information for the purpose(s) to which you originally consented unless the Company now has an alternative legal basis for doing so.

## **Changes to this privacy notice**

The Company reserves the right to update this Privacy Notice at any time, and will make an updated copy of such Privacy Notice available to you and notify you when any substantial updates are made. The Company may also notify you in other ways from time to time about the processing of your personal data.

## **Further information**

This Privacy Notice was written with brevity and clarity in mind and is not an exhaustive account of all aspects of the Company's collection and use of personal data. If you require any further information, please do not hesitate to contact [privacy@limmat.capital](mailto:privacy@limmat.capital).

## Cayman Islands Fund Privacy Notice

### Introduction

The purpose of this notice is to provide you with information on our use of your personal data in accordance with the Cayman Islands Data Protection Law, 2017 (the "DPL").

In this document, "we", "us" and "our" refers to the Company, the Investment Manager and its or their affiliates and/or delegates.

### Investor Data

By virtue of making an investment in the Company and your associated interactions with us (including any subscription (whether past, present or future), including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the DPL ("**Investor Data**"). We may also obtain Investor Data from other public sources. Investor Data includes, without limitation, the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

In our use of Investor Data, the Company will be characterised as a "data controller" for the purposes of the DPL. The Company's affiliates and delegates may act as "data processors" for the purposes of the DPL.

### Who this Affects

If you are a natural person, this will affect you directly. If you are a corporate investor (including, for these purposes, legal arrangements such as trusts or exempted limited partnerships) that provides us with Investor Data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

### How We May Use Your Personal Data

The Company, as the data controller, may collect, store and use Investor Data for lawful purposes, including, in particular:

- (i) where this is necessary for the performance of our rights and obligations under the Subscription Agreement and/or the constitutional and operational documents of the Company;
- (ii) where this is necessary for compliance with a legal and regulatory obligation to which the Company is subject (such as compliance with anti-money laundering and FATCA/CRS requirements); and/or
- (iii) where this is necessary for the purposes of our legitimate interests and such interests are not overridden by your interests, fundamental rights or freedoms.

Additionally, the Administrator, may use Investor Data, for example to provide its services to the Company or to discharge the legal or regulatory requirements that apply directly to it or in respect of which the Company relies upon the Administrator, but such use of Investor Data by the Administrator will always be compatible with at least one of the aforementioned purposes for which we process Investor Data.

Should we wish to use Investor Data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

### Why We May Transfer Your Personal Data

In certain circumstances we and/or our authorised affiliates or delegates may be legally obliged to share Investor Data and other information with respect to your interest in the Company with the relevant regulatory authorities such as the Cayman Islands Monetary Authority or the Tax Information Authority. They, in turn, may exchange this information with foreign authorities, including tax authorities.

We anticipate disclosing Investor Data to parties who provide services to the Company and their respective affiliates (which may include certain entities located outside the Cayman Islands or the European Economic Area). Such parties may include our administrators, accountants, auditors, bankers, prime brokers, insurers, lawyers, AML service providers and other back-office service providers who may either process personal data on our behalf or for their own lawful purposes in connection with services provided to the Company.

### The Data Protection Measures We Take

Any transfer of Investor Data by us or our duly authorised affiliates and/or delegates outside of the Cayman Islands shall be in accordance with the requirements of the DPL.

We and our duly authorised affiliates and/or delegates shall apply appropriate technical and organisational information security measures designed to protect against unauthorised or unlawful processing of Investor Data, and against accidental loss or destruction of, or damage to, Investor Data.

We shall notify you of any Investor Data breach that is reasonably likely to result in a risk to the interests, fundamental rights or freedoms of either you or those data subjects to whom the relevant Investor Data relates.



## Getting In Touch

Should you have any queries or wish to discuss your data protection rights with us, please contact the Investment Manager at [privacy@limmat.capital](mailto:privacy@limmat.capital).

# LC Equity Fund, Ltd.

## Additional Subscription/Redemption Form

\*Please note this form must only be completed for subsequent trades after the initial subscription

To: **LC Equity Fund, Ltd.**

C/O U.S. Bank Global Fund Services (Ireland) Limited  
 24-26 City Quay  
 Dublin 2  
 Ireland  
 Attn: Investor Services Department

Tel: +353 1 523 8290  
 Fax: +353 1 523 8390  
 Queries: [Investorservices@quintillion.com](mailto:Investorservices@quintillion.com)  
 Dealing: [Investordealing@quintillion.com](mailto:Investordealing@quintillion.com)

Words used in this Form have the same meaning as in the Offering Memorandum of the Company unless the context requires otherwise. You should read the Offering Memorandum before completing this form. I/We confirm that we will comply with the subscription and/or redemption procedures set out in the Offering Memorandum and/or the original Application Form. Redemption of Shares will not be processed until the original copy of the initial Application Form and any required documentation has been received by the Administrator.

### APPLICANT DETAILS

Investor Name:  Investor Id:

Subscription for Shares  Redemption of Shares  Full Redemption of Shares  please tick (✓)

Class CHF Shares  Class EUR Shares  Class USD Shares  please tick (✓)

Please indicate below ✓ the notice period to be applied to this redemption.

I/we hereby give the redemption notice of 7 days at a charge of 75 bps.

I/we hereby give the redemption notice of 30 days at no charge.

Dealing Date: \_\_\_/\_\_\_/\_\_\_ OR Next available Dealing Date

Monetary Amount	<input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"><input type="text"/>. <input type="text"/><input type="text"><input type="text"/><input type="text"/> Millions Thousands Hundreds Decimals</input></input>	In Words:	<input type="text"/>
No. of Shares	<input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"/> <input type="text"/> , <input type="text"/> <input type="text"><input type="text"/>. <input type="text"/><input type="text"><input type="text"/><input type="text"/> Millions Thousands Hundreds Decimals</input></input>	In Words:	<input type="text"/>

### SUBSCRIPTION SETTLEMENT DETAILS

All redemption proceeds will be paid to the account of the Applicant as detailed on the original Application Form, any changes to these bank details will only be effected on receipt of original request in writing to the administrator. No third party payments will be undertaken.

Please ensure subscription proceeds are paid direct via MT103 to the following bank details:

	CHF	EUR	USD
Beneficiary Bank:	Citibank N.A., London	Citibank N.A., London	Citibank N.A., London
Swift Code:	CITIGB2L	CITIGB2L	CITIGB2L
Account Name:	Quintillion Ltd Client LC Equity Fund	Quintillion Ltd Client Equity Fund	Quintillion Ltd Client LC Equity Fund
Account Number:	11962140	11962124	11962132
IBAN:	GB71CITI18500811962140	GB18CITI18500811962124	GB93CITI18500811962132
Correspondent Bank:	Not Applicable	Not Applicable	Citibank N.A., New York, CITIUS33
Reference Details:	{Fund Name & Investor Name}	{Fund Name & Investor Name}	{Fund Name & Investor Name}

Name of Authorising Officer

Title

Signature

Date

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