

# Investor Application Form

## Northhill Global Funds ICAV (the "ICAV")

### Important to Know

- If the applicant or beneficial owner is a US Person, Irish resident or ordinarily Irish resident, please do not use this form. Please contact us for the correct form.
- Please note that your account will not be opened (nor will you be able to receive distributions or redemption proceeds) unless and until we have your original application and all other material that we consider is necessary.
- In this form, "we", "us" and "our" refer to the ICAV and its affiliates and delegates.
- Unless otherwise indicated, defined terms in this form have the same meaning as in the prospectus.
- Please also complete the following documents appended hereto and return with this application form:
  - FATCA and CRS entity/individual self-certification form; and
  - Benefit Plan Investor Questionnaire.

### 1. Account Owner *Print clearly in BLOCK LETTERS using dark ink.*

OWNER'S NAME	
OWNER'S COUNTRY OF TAX RESIDENCY	OWNER'S TAX ID NUMBER (IF APPROPRIATE)
TOWN AND COUNTRY OF BIRTH*	CONFIRM WHETHER (A) LISTED/NOT LISTED; AND, IF LISTED, (B) SUBJECT TO THE REQUIREMENTS OF THE TRANSPARENCY DIRECTIVE <sup>1</sup> OR EQUIVALENT STANDARDS REGARDING TRANSPARENCY OF OWNERSHIP (SPECIFYING APPLICABLE REGIME) <sup>2</sup>

#### For completion by applicants who are tax resident outside the EU Member States:

You confirm by ticking the box to the left that the applicant is not resident in an EU Member State and has not verified its identity by use of an EU passport/official identity card.

#### Registered Address

ADDRESS	
CITY/POSTCODE	COUNTRY

#### Mailing Address Same as registered address

ADDRESS	
CITY/POSTCODE	COUNTRY

#### Contact Information

PHONE	E-MAIL
FAX	CONTACT PERSON AND TITLE ⇨ REQUIRED IF OWNER IS NOT AN INDIVIDUAL

<sup>1</sup> Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC

<sup>2</sup> Note the ICAV in its sole discretion retains power to decide on equivalence of any other regime.

## 2. Beneficial Owner

- Same as account owner (You **must** also complete Part 2 of this Section 2)
- Third party (account owner is an intermediary) (You **must** also complete both Part 1 and Part 2 of this Section 2)

### Part 1: Third Party and Intermediary Information *Complete ONLY if account owner is an intermediary.*

THIRD PARTY BENEFICIAL OWNER(S) NAME(S)	NAME OF REGULATOR WHERE INTERMEDIARY IS REGULATED
TYPE OF INVESTOR (INDIVIDUAL, CORPORATE, PENSION FUND, ETC.)	CONFIRM WHETHER INVESTOR IS (A) LISTED/NOT LISTED; AND, IF LISTED, (B) SUBJECT TO THE REQUIREMENTS OF THE TRANSPARENCY DIRECTIVE <sup>3</sup> OR EQUIVALENT STANDARDS REGARDING TRANSPARENCY OF OWNERSHIP (SPECIFYING APPLICABLE REGIME) <sup>4</sup>

### Part 2: Beneficial Owners and the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulation 2016

Please tick here and proceed to Section 3 where the account holder or, if the account holder is an intermediary, the third party beneficial owner is listed on a regulated market and subject to disclosure requirements consistent with Union law<sup>5</sup> or subject to equivalent standards which ensure adequate transparency of ownership information:

Where sub-paragraphs (A) or (B) below are relevant, the following table must also be completed in order to enable the ICAV to comply with the European Union (Anti Money Laundering Beneficial Ownership of Corporate Entities) Regulation 2016 (SI No. 560 of 2016) (the "**Beneficial Ownership Regulations**"). If you become aware that you are a "beneficial owner" of the ICAV (as that term is defined in the Beneficial Ownership Regulations) you have certain legal obligations to provide the ICAV with relevant information, in particular any changes to the information below (including if you become aware that you have ceased to be a beneficial owner)(a "**Relevant Change**"). Please see Section 5, "Representations, Signature(s) and Dates" in respect of the statutory obligations to the ICAV.

- (A) If either (i) the beneficial owner is a natural person, and is the same as the account holder or (ii) the third party beneficial owner is a natural person please provide all information below.
- (B) If either (i) the account holder named in Section 1 or (ii) the third party beneficial owner named in Part 1 of Section 2 is **not** a natural person, please provide the following information for:
- each shareholder (or equivalent) that is a natural person with at least 25% ownership or control of the subscribing entity; and
  - where shareholder(s) (or equivalent) in the subscribing entity is/are an entity, any natural person(s) indirectly having at least 25% ownership or control of each relevant shareholder entity.

NAME (FIRST NAME, SURNAME)	RESIDENTIAL ADDRESS
DATE OF BIRTH	NATIONALITY
STATEMENT OF (i) THE NATURE AND (ii) THE EXTENT OF THE INTEREST IN THE ICAV HELD BY THE RELEVANT NATURAL PERSON AS BENEFICIAL OWNER <sup>6</sup>	

#### FOR INTERMEDIARIES ONLY

IS THIS INFORMATION BEING PROVIDED WITH THE KNOWLEDGE OF THE RELEVANT NATURAL PERSON? (YES OR NO): \_\_\_\_\_

<sup>3</sup> Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC.

<sup>4</sup> Note the ICAV in its sole discretion retains power to decide on equivalence of any other regime.

<sup>5</sup> Including the Transparency Directive (as defined in footnote (1))

<sup>6</sup> For example, whether shares will be held by a natural person directly or indirectly via the account owner (or both), or control is exercised via other means (e.g. a right to issue binding directions affecting financial/operational policies under a shareholder agreement with the investor), and (ii) number of shares subscribed for if account holder is a natural person (with a breakdown of direct and indirect ownership as appropriate) or percentage of shares/voting rights held by a natural person in the investor. Please attach a continuation sheet if the space herein is insufficient

If you cannot provide the information requested in this Part 2 of Section 2 or any part(s) thereof, please (A) set out the reason(s) and (B) provide the particulars of any person likely to have knowledge of a relevant natural person, with confirmation as to whether this information is being provided with their knowledge<sup>7</sup>

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<sup>7</sup> Please attach a continuation sheet if the space herein is insufficient  
GML/709110-000001/16445544v12

### 3. Initial Investment(s) *Specify share number OR investment amount (including currency), but NOT both.*

We must receive your payment by electronic transfer to the correct account (as set out below) by no later than 5.00pm (Irish time) four Business Days after the relevant Valuation Point, or we may cancel your investment without notice and without liability for any expenses or investment losses. Unless you have made other arrangements with the Administrator, your payment must be in the currency of the share class in which you are investing.

#### Bank Account to Send Subscription Proceeds – USD

<b>Intermediary Bank - Field 56</b>
HSBC Bank, New York
BIC: MRMDUS33
Fed Wire: 021001088
<b>Account with Institution - Field 57</b>
Account Name: Citco Bank Nederland N.V. Dublin Branch
Account Number: 000306487
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN) IE06 CITC 0000 0030 5633 01
Beneficiary Account Name : NORTHILL GLOBAL FUNDS ICAV

#### Bank Account to Send Subscription Proceeds - EUR

<b>Intermediary Bank - Field 56</b>
Deutsche Bank Frankfurt
BIC: DEUTDEFF
<b>Account with Institution - Field 57</b>
Account Name: Citco Bank Nederland N.V. Dublin Branch
International Bank Account Number: DE35500700100931411300
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN) IE76 CITC 0000 0030 5633 02
Beneficiary Account Name : NORTHILL GLOBAL FUNDS ICAV

#### Bank Account to Send Subscription Proceeds – GBP

<b>Intermediary Bank - Field 56</b>
Barclays Bank plc, London
BIC: BARCGB22
<b>Account with Institution - Field 57</b>
Sort Code: 20-32-53
Account Name: Citco Bank Nederland N.V. Dublin Branch
International Bank Account Number: GB11 BARC 2032 5310 0974 38
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN) IE49 CITC 0000 0030 5633 03
Beneficiary Account Name : NORTHILL GLOBAL FUNDS ICAV

#### Bank Account to Send Subscription Proceeds - CHF

<b>Intermediary Bank - Field 56</b>
Credit Suisse, Zürich
BIC: CRESCHZZ80A
Account Name: Citco Bank Nederland N.V. Dublin Branch
<b>Account with Institution - Field 57</b>
International Bank Account Number: CH49 0483 5074 3341 6300 0
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN) IE22 CITC 0000 0030 5633 04
Beneficiary Account Name : NORTHILL GLOBAL FUNDS ICAV

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### Bank Account to Send Subscription Proceeds – JPY

<b>Intermediary Bank - Field 56</b>
The Hongkong and Shanghai Banking Corp. Ltd., Tokyo
BIC: HSBC JP JT
<b>Account with Institution - Field 57</b>
Account Name: Citco Bank Nederland N.V. Dublin Branch
Account Number: 009-025578-026
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN) IE92 CITC 0000 0030 5633 05
Beneficiary Account Name : NORTHILL GLOBAL FUNDS ICAV

### Bank Account to Send Subscription Proceeds – NOK

<b>Intermediary Bank - Field 56</b>
DnB Nor Bank ASA, Oslo
BIC: DNBANOKK
<b>Account with Institution - Field 57</b>
Account Name: Citco Bank Nederland N.V. Dublin Branch
International Bank Account Number: NO41 7001 0248 173
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN): IE38 CITC 0000 0030 5633 07
Beneficiary Account Name: NORTHILL GLOBAL FUNDS ICAV

### Bank Account to Send Subscription Proceeds – AUD

<b>Intermediary Bank - Field 56</b>
Australia and New Zealand banking Group Ltd., Melbourne
BIC: ANZBAU3M
<b>Account with Institution - Field 57</b>
Account Name: Citco Bank Nederland N.V. Dublin Branch
International Bank Account Number: 736785.00001
BIC: CITCIE2D
<b>Beneficiary Customer - Field 59</b>
Beneficiary International Bank Account Number (IBAN): IE81 CITC 0000 0030 5633 09
Beneficiary Account Name: NORTHILL GLOBAL FUNDS ICAV

SUB-FUND NAME		SHARE CLASS
CURRENCY	AMOUNT	NUMBER OF SHARES

## 4. Redemptions

### Bank Account to Receive Redemption Proceeds

REGISTERED OWNER (MUST BE SAME AS APPLICANT)	BANK ACCOUNT NUMBER	CURRENCY
BANK NAME	BANK ADDRESS	
BANK CITY/POSTCODE	BANK COUNTRY	
BIC/SWIFT/ABA	IBAN/CHAPS/CHIPS/SORT	

## 5. Representations, Signature(s) and Date

By signing below, you, the account owner(s), represent, acknowledge and agree as follows

- You represent that all the information in this application is correct and complete and that you have the legal power, authority and capacity to make this investment and sign this application whether in your own name or on behalf of another person or institution.
- You can evaluate the merits and risks of an investment in the shares in light of your financial condition and resources and have considered the risk factors as set out in the prospectus.
- You represent that this application complies with all applicable laws and regulations.
- You agree that this application is the agreement under which your account will operate, and that it will be governed by and interpreted under Irish law and adjudicated by the Irish courts.
- You acknowledge that you have been offered the current prospectus and instrument of incorporation of the ICAV and the most recent annual report or half-yearly report of the ICAV. You acknowledge that this application is subject to the provisions of the prospectus and instrument of incorporation of the ICAV and you are bound by the terms of these documents.
- *the following confirmation is applicable to applicants that are resident, domiciled and/or investing from within the European Economic Area ("EEA") or Switzerland only:*
  - you declare that the Key Investor Information Document(s) (KIID) have been provided to you (electronically or by hard copy) prior to making the application for shares and that you have read and understood the nature and the risks of the product that is being offered to you.
  - you acknowledge and agree that the updated KIID(s) for each share class is available from our website as referenced herein and accordingly disclosed to you or such other website address as may be notified to you and that you will read the most up-to-date version of the relevant KIID(s) prior to making any subsequent application for shares.
  - where you are investing as nominee, you shall provide your client(s) with the relevant KIID(s) and you shall ensure that you do so in compliance with applicable legislation in any jurisdiction in carrying out this activity and you shall maintain records of your provision of the KIID(s) to your clients and shall furnish such records to the ICAV, or its delegates, upon request.
- You acknowledge that your account will not be opened unless and until we receive all materials we consider necessary and are satisfied that they are complete, correct, and authentic.
- You represent that you are not a US Person, Irish resident or Irish ordinarily resident, nor will this account be held for the benefit of, or on behalf of, such an investor and should your status in this regard change, you will inform us in writing. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.
- You understand that we collect, store and use the data you provide in your interactions with us (including this application, and including the recording of phone calls), and that you have certain rights (such as the right to prevent the use of your data for marketing purposes and the right to examine and correct your data).
- You consent to our sharing of information with legal, regulatory or tax authorities in any country as required by applicable law and regulation, and with other entities for the purposes of providing account services, data analysis and research, conducting our business, and any other purposes other than those restricted by law or by exercise of your option to withhold consent.
- You understand that we operate a Subscriptions/Redemptions Account for each Fund through which subscription monies and redemption proceeds and dividend income (if any) for that Fund are channelled. You further understand that these Subscriptions/Redemptions Account accounts shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held for the account of a Fund in the Subscriptions/Redemptions Account at a point where such Fund (or another Fund of the ICAV) becomes insolvent. Upon receipt into a Subscriptions/Redemptions Account, subscription monies, redemption proceeds or dividend income will be the property of the relevant Fund and accordingly you will be treated as a general creditor of the relevant Fund during the period such monies are held in the Subscriptions/Redemptions Account. You note that further information on the operation of the Subscriptions/Redemptions Account and associates risks are disclosed in the Prospectus.
- You agree that materials sent to any fax number or electronic address you have provided to us will be considered to have been adequately delivered to you, and you agree that we may send you communications via these means unless and until we receive written notice from you withdrawing consent for same.
- You agree that if you send subscription proceeds for a share class in a currency other than the currency of the relevant share class with a request to make an appropriate currency conversion, this will be done at your own risk and expense. Similarly, where you send a redemption request and ask that the redemption proceeds be paid other than in the currency of that share class, the cost and risk of converting will be borne by you.
- You understand that you may lose money, and that the value of your investment is reduced on an ongoing basis by the deduction of operating fees.
- You understand that certain fees and expenses for certain sub-funds may be charged to the capital of the sub-fund. **Thus, on redemptions of holdings you may not receive back the full amount invested.** You also understand that dividends for certain sub-funds may be paid out of capital in certain sub-funds. **As a result capital will be eroded and distributions will be achieved by foregoing the potential for future capital growth and this cycle may continue until all capital is depleted.**
- You shall provide us with any additional information which we may reasonably request in connection with tax or other similar requirements in order to verify any representations made by you and you authorise us to disclose such information to such persons as we consider appropriate.
- You understand and agree that any redemption proceeds paid to you will only be paid to a bank account in your name and with a recognised financial institution.
- You agree to indemnify us and hold us harmless from and against any and all losses, liabilities, damages, and expenses (including legal fees and expenses) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set out in this application or in any document delivered by you to the ICAV.
- You agree that that neither the ICAV nor any investment manager shall be liable to you (or to any other persons) for any error of judgment in the selection of the relevant sub-fund's investments.
- You represent that the monies being invested are coming from an account in your name and that none of the monies being invested in this account, now or in the future, derive directly or indirectly from criminal activity or are part of any money-laundering activity and the investment is not designated to conceal such proceeds so as to avoid prosecution for an

offence or otherwise.

- You indemnify us from any costs or any damages resulting from our acceptance and proper execution of orders on this account that we believe are genuine, or from any misrepresentation you make on this form.
- If at any time during the period you hold any shares in the ICAV you become aware that you are a "beneficial owner" of the ICAV as that term is defined in the Beneficial Ownership you acknowledge and agree to the following:
  - (a) to provide such information as may be required by the ICAV and (b) if the ICAV or its duly appointed delegate has not contacted you within a month of your acquiring the status of a Beneficial Owner, provide the information required in Part 2 of Section 2 of this form within the following month, as well as (to the best of your knowledge) the date on which you became a Beneficial Owner (as required under Regulation 11 of the Beneficial Ownership Regulations);
  - where you become aware that (a) a Relevant Change (as defined in Part 2 of Section 2) has occurred and (b) the ICAV or its duly appointed delegate has not contacted you for information on the Relevant Change within a month of its occurrence, you agree to notify the ICAV or its duly appointed delegate of the Relevant Change, the date of its occurrence and any other necessary information within either (i) two months of the Relevant Change or (ii) one month of becoming aware of facts from which you could reasonably conclude that a Relevant Change has occurred (whichever is later)(as required under Regulation 12 of the Beneficial Ownership Regulations).
  - You acknowledge that under Regulations 11 and 12 of the Beneficial Ownership Regulations (outlined above) it is a criminal offence under Irish law (punishable by a fine of up to €5,000) if, being aware of your status as a Beneficial Owner, you (i) fail to take the steps above where the ICAV has not contacted you for information within the relevant timeframes, or (ii) in purporting to do so, make a statement that is false in a material particular, knowing it to be false or being reckless as to whether it is so false.
- You understand that the confirmations, representations, declarations and warranties made herein are continuous and apply to all subsequent purchases of shares in the ICAV.
- You agree to notify us immediately of any changes in the information provided in this application including all attachments.
- *the following confirmation is applicable to applicants that are resident, domiciled and/or investing from within Canada only:*
  - you consent to receive electronic communications relating to the ICAV including but not limited to current and future account statements; requests for information to maintain your registration; ICAV

documents (including all supplements and amendments thereto); notices from the ICAV or investment manager (including privacy notices); letters to investors from the ICAV or investment manager regarding your investment; annual audited financial statements; tax forms (including Schedule K-1s (if applicable)); regulatory communications and other information, documents, data and records regarding your investment in the ICAV; reports from the ICAV or the investment manager on the performance of the ICAV or relevant investment strategies or investment opportunities or other promotional information, documents, data or records regarding the ICAV and the investment manager, Citco Fund Administration (Cayman Islands) Limited and Citco Fund Services (Ireland) Limited (the "Parties"). The ICAV is requesting consent on behalf of itself and the rest of the Parties. You are providing your consent with respect to any email address you provide to the Parties in this document and in the future. You may unsubscribe from these communications at any time by contacting the Sub-Administrator at Citco Fund Services (Ireland) Limited, 3rd floor, Tellengana House, Blackrock Road, Cork Ireland and one of telephone number, email address or website address of the investment manager, Administrator and Sub-Administrator(s).

- You represent that you are not a US Person. In the case of applicants applying for shares on the applicant's own behalf only:
  - I am/we are/the company\* is not currently resident or ordinarily resident in Ireland, and should I/we/the company\* become resident in Ireland I will/we will\* so inform you, in writing, accordingly.

\*delete as appropriate

If you are concerned that you cannot satisfy this, please tick the box

In the case of applicants applying for shares on behalf of any other person:

The person/the company\* (on whose behalf we are applying) is not currently resident or ordinarily resident in Ireland and I/we\* will inform you in writing if I/we become aware that any person, on whose behalf I/we\* hold Shares, becomes Resident in Ireland.

\*delete as appropriate

If you are concerned that you cannot satisfy this, please tick the box

- You hereby acknowledge that your personal information will be handled by the Administrator (as data processor on behalf of the ICAV) in accordance with the Irish Data Protection Acts 1988 to 2003, as amended from time to time. You also

acknowledge that this information will be processed by the Administrator for the purposes of carrying out the services of administrator, registrar and transfer agent of the ICAV and to comply with legal obligations including legal obligations under company law and anti-money laundering legislation. You acknowledge that the Administrator or ICAV will disclose your information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as the auditors, the Irish Revenue Commissioners or other tax or governmental authorities (including in accordance with FATCA and CRS), the Central Bank of Ireland or agents of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements. You hereby consent to the processing of your information, which may include (1) the recording of telephone calls with the Administrator for the purpose of confirming data, (2) the disclosure of your information as outlined above to the investment manager, (3) the disclosure of your information where necessary, or in the ICAV's or the Administrator's legitimate interests, to the MLRO and/or any company in the Administrator's and/or the investment manager's group of companies, or (4) the disclosure of your information to agents of the Administrator, including companies situated in countries outside of the European Economic Area which may not have the same level of protection for personal data as in Ireland. You acknowledge your right of access to and the right to amend and rectify your personal data, as provided herein. For the avoidance of doubt the ICAV shall be considered a data controller in accordance with the Irish Data Protection Acts and the Administrator shall be considered a Data Processor.

- You agree that in order to allow the ICAV comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("FATCA") or the OECD common reporting standard ("CRS"), you will:
  - provide the ICAV (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA or CRS reporting; and
  - permit the ICAV to:
    - a) share such information with the US Internal Revenue Service, Irish Revenue or other relevant tax or other government authority as required for FATCA or CRS purposes;
    - b) compel or effect the sale of the shares or repurchase and cancel the shares if it fails to comply with the foregoing requirements; and
    - c) make any other amendments to any other documents entered into in connection with the subscription as

may be necessary to enable the ICAV

to comply with FATCA or CRS.

**Owner/Authorised Signer**

**Joint Owner/Additional Authorised Signer *If any***

NAME IN BLOCK LETTERS	
TITLE	
E-MAIL	
PHONE	DATE
SIGNATURE <b>X</b>	

NAME IN BLOCK LETTERS	
TITLE	
E-MAIL	
PHONE	DATE
SIGNATURE <b>X</b>	

**6. Intermediary/Nominee Certifications** *Required if beneficial owner is not account owner*

By signing below, the signer certifies that all of the following are true:

- the intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with the anti-money laundering regulations of Ireland or, if they are at least equivalent, of the jurisdiction of sale
- the intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account
- the intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described, and agrees to provide documentation on all of these parties that is satisfactory to us upon request
- the intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment
- the intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the intermediary makes on this form
- the intermediary agrees to notify us immediately should its relationship to investor end
- the intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has

done so

- the signer is authorised to make all of these representations on behalf of the intermediary

AUTHORISED SIGNER NAME IN BLOCK LETTERS	
TITLE	DATE
SIGNATURE <b>X</b>	



## Guide to completing your application

### 1. Review the form and verify that it is complete, signed, and dated.

### 2. Make sure all necessary forms, signatures and additional documents (in particular the required verification of identity documents referred to below) are included.

Copies of entity documents must be certified as being a true copy by a company secretary, solicitor, notary public or legal advisor. Copies of individual ID documents must be certified by an accountant, notary public, solicitor, embassy/consul staff, financial Intermediary or police authority in an EU member state or other Prescribed Country. Note that we may impose additional requirements depending on your status and location.

#### All applicants

- Application form
- Signatures of all owners
- Photo ID or current passport
- A recent utility bill (dated within the last six months)
- A recent bank statement or a recent bill for a second utility (dated within the last six months)
- For applicants that are resident in an EU Member State only: Original document containing your Tax Identification Number or, if not available, an identity document containing details of your place and date of birth.

#### Entity accounts — all types

- Articles of incorporation or association, trust deed, charter, partnership agreement, extract of the Commercial Register, or other constitutional document, as well as any certificate evidencing a change of name
- Documentation of the individual identities of at least two authorised signers, to the same extent as would be required if they were individual investors; at least one signer must be a director, partner, trustee, or other senior level individual

- Register of directors, trustees, governors, or other individuals with supervisory control
- Names and specimen signatures of all authorised signers for the account, on entity letterhead
- Validation of authority of the authorised signers(s) to open and manage the account
- For private companies, a list of shareholders, including, for each 25% ownership/control individual, their name, address, date of birth and occupation
- For beneficial owners that are entities:
  - a list of shareholders
  - the name, address, date of birth and occupation of each shareholder with at least 25% ownership or control of the entity
  - for any such shareholder that is itself an entity, the name, address, date of birth and occupation of the individual(s) having at least 25% ownership or control of the shareholder entity

#### Intermediaries

- Complete "Know Your Customer" documentation of the third party
- Evidence of regulated status and confirmation of compliance with identification requirements to those set by Irish legislation
- For beneficial owners who are individuals, all documentation that would be required if they were investing directly
- For beneficial owners that are entities:
  - a list of shareholders
  - the name, address, date of birth and occupation of each shareholder with at least 25% ownership or control of the entity
  - for any such shareholder that is itself an entity, the name, address, date of birth and occupation of the individual(s) having at least 25% ownership or control of the shareholder entity

### 3. Submit completed application and attachments by fax or electronic means to the number/e-mail address below.

#### Fax

+353 1 636 0459

#### E-mail Address

dubirorders@citco.com

### 4. Contact the sales team with any queries: details below:

IR@securisinvestments.com

### 5. Website where the KIID is maintained:

www.securisinvestments.com

## APPENDIX I – BENEFIT PLAN QUESTIONNAIRE

### BENEFIT PLAN QUESTIONNAIRE

I. The Investor represents that it is (please check all applicable boxes):

A.  **not** a Benefit Plan Investor\*(Code: NBPI); or

\* A “Benefit Plan Investor” is (i) any plan subject to Title I of ERISA (e.g., U.S. corporate plans), (ii) any plan subject to Section 4975 of the Code (e.g., IRAs) and (iii) any passive investment fund whose underlying assets include “plan assets” (generally because plans (described in (i) or (ii)) own 25% or more of a class of the investment fund’s equity interests). Any entity that is a Benefit Plan Investor by virtue of (iii) above should check I-B.3 below.

B.  a Benefit Plan Investor that is:

1.  An employee benefit plan or trust that is subject to the provisions of ERISA – this includes U.S. pension plans and U.S. profit-sharing and 401(k) plans, “Multiemployer Plans” and “Taft-Hartley Plans” but does not include U.S. governmental plans, certain church plans and non-U.S. employee pension and welfare benefit plans (Code: ERISA);

2.  A U.S. individual retirement account, Keogh Plan and/or other plan subject to Section 4975 of the Internal Revenue Code of 1986, as amended (“IRC”) (Code: E-IRC);

3.  An entity (e.g. a fund of funds) whose underlying assets include “plan assets” by reason of a plan’s investment in the entity and such plan investors include (1) one or more U.S. pension benefit plans, welfare benefit plans or similar plans subject to ERISA and/or (2) one or more individual retirement accounts, Keogh plans or other individual arrangement subject to Section 4975(e)(1) of the IRC (including by reason of 25% or more of any class of equity interests in the entity being held by Benefit Plan Investors that include any plan described above) (Code: E-25%+).

If the Investor is an entity whose underlying assets include “plan assets,” indicate that the percentage of such assets that constitute “plan assets” within the meaning of ERISA or the IRC is not more than (please check an applicable box):

10% \*\*  20% \*\*  30%  40%  50%  
 60%  70%  80%  90%  100%

\*\*Applicable to entities with multiple classes, one of which exceeds the 25% threshold for Benefit Plan Investors.

The Investor agrees to promptly notify the Administrator in writing if there is a change in the percentage as set forth above and at such time or times as the General Partner/Investment Adviser and/or Administrator may request.

II. Insurance Company

If the Investor is an insurance company, please certify to either 1 or 2 below:

1.  The Investor is an insurance company investing the assets of its general account (or the assets of a wholly owned subsidiary of its general account) in the Fund but none of the underlying assets of the Investor's general account constitute "plan assets" within the meaning of Section 401(c) of ERISA.

2.  The Investor is an insurance company investing the assets of its general account (or the assets of a wholly owned subsidiary of its general account) in the Fund and the percentage of the underlying assets of the Investor's general account deemed to be "plan assets" within the meaning of Section 401(c) of ERISA is not more than (please check an applicable box) (**Code: E-ICGA**);

- 10% \*\*  20% \*\*  30%  40%  50%  
 60%  70%  80%  90%  100%

The Investor agrees to promptly notify the Administrator in writing if there is a change in the percentage as set forth above and at such time or times as the General Partner/Investment Adviser and/or Administrator may request.

**\*PLEASE ENSURE THAT QUESTION 3 IS ANSWERED WHETHER OR NOT YOU ARE AN INSURANCE COMPANY OR BENEFIT PLAN INVESTOR**

III. **Person(s) or affiliate(s) with control over assets/providing investment advice**

If the Investor is not a Benefit Plan Investor, please indicate whether you are (i) a person (including an entity) who has discretionary authority or control with respect to the assets of the Fund or (ii) a person (including an entity) who provides investment advice for a fee (direct or indirect) with respect to such assets or an "affiliate" of any such person described in (i) and/or (ii). For purposes of this representation, an "affiliate" is any person controlling, controlled by or under common control with the Fund or any of its investment advisers (including the Investment Manager), including by reason of having the power to exercise a controlling influence over the management or policies of the Fund or its investment adviser(s).

\* Yes: \_\_\_\_\_ (**Code: IM&A**)

\* No: \_\_\_\_\_

