Important Account Opening Information

This duly signed Account Opening Form together with full Anti-Money Laundering (AML) Due Diligence Documentation (as per Appendix 6) and a valid signed FATCA/CRS forms are required before an account can be opened. The supporting copy bank account evidence documentation must be returned to the Administrator's address to complete the account registration process.

Once signed Account Opening Form and full **AML Due Diligence Documentation** is received, the Administrator will send the account number confirmation to the authorised contact(s) upon which you can **then** place dealing instructions (see Appendix 1 for dealing information, Appendix 2 for payment details and Appendix 3 for subscription instructions). The account number must be specified on all forms to place transactions. **Subscription instructions and proceeds must not be forwarded until the account number confirmation is issued to you by the Administrator. Please note this may take up to 5 Business Days. Any subscription deal received as part of the account opening form will be rejected.**

You should email or fax this Account Opening Form to the details provided in the account opening form

Incomplete Account Opening Forms (where compulsory information*[1] and AML verification documents have not been provided in advance) will be rejected and any subscription monies received will be returned. If an application is rejected, the Administrator at the cost and risk of the Applicant will, subject to any applicable laws, return application monies or the balance thereof, without interest, expenses or compensation by electronic transfer to the account from which it was paid (less any applicable bank charges where applicable).

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

Account Opening Form Guide

Section 1: Registration Details (this section must be completed) 3
Section 2: Contact Details (if applicable) 5
Section 3: Bank Details (this section must be completed) 5
Section 4: Investor AML Due Diligence Information (section must be completed by all applicants) 7
Section 5: Distribution / Dividend Option (this section must be completed) 12
Section 6: Agent Information (if applicable) 13
Section 7: Investor Tax Residency (this section must be completed) 14
Section 8: FATCA & CRS (this section must be completed by all applicants) 19
Section 9: Representations and Warranties (this section must be completed by all applicants) 30
Section 10: Appendices 40
Appendix 1 - Dealing Procedure 40
Appendix 2 - Payment details 41
Appendix 3 - Subscription Form (complete only upon receipt of account number confirmation) 43
Appendix 4 - Redemption Form 46
Appendix 5 - Data Protection 48
Appendix 6 – Investor AML Due Diligence Documentation Requirements (all investors- provision in advance) 51
Appendix 7 – Terms and Conditions of Service for instruction issued to the Administrator via email 73

Defined terms used in this Account Opening Form are those used in the Prospectus (unless the context otherwise requires). In the event of any discrepancy between the Prospectus and the Account Opening Forms, the Account Opening Forms shall prevail.

Please complete the form in blue or black ink and use BLOCK CAPITALS where possible.

[1] Please note compulsory data that is required is name, address, date of birth (retail investors), email address, banking account details and Tax details*

Administrator Details

Postal Address
Northern Trust International Fund Administration Services (Ireland) Limited
2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon, Limerick, V94 X2N9, Ireland

Registered Address
Northern Trust International Fund Administration Services (Ireland) Limited
George's Court, 54-62 Townsend Street, Dublin 2, D02 R156, Ireland

Telephone: + 353 1 434 5122
Facsimile: +353 1 553 9431
Email queries: Harringtoncooper_ta_queries@ntrs.com
Email deals (pdf): HarringtonCooperTAInstructions@ntrs.com

Key Investor Information Document (KIID) / Key Information Document (KID)

Please ensure that you have read the Prospectus and the KIID and/or KID, as relevant, before completing this Account Opening Form. The KIID and/or KID, as relevant, is available at the Manager's website https://harringtoncooper.com/harrington-cooper-asset-management-funds/.

Data Protection

Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the Fund in accordance with the Irish Data Protection Acts 1988 to 2018 and the General Data Protection Regulation (Regulation 2016/679) (together the "Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with the Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners. Please see the Prospectus for further details.

PLEASE TICK (X) THE APPROPRIATE BOX(ES) CONFIRMING THE FUND(S) THE INVESTMENT WILL BE MADE INTO, PLEASE TICK ALL RELEVANT BOXES IF AN INVESTMENT WILL BE MADE INTO MULTIPLE SUB FUNDS

HC Snyder US All Cap Equity Fund	☐	HC Sephira GEM Long Only UCITS Fund	☐
HC Westfield US Small Cap Growth Fund	☐	HC Berenberg Europe ex UK Focus Fund	☐
Thornbridge Nissay Japan Contrarian Value Equity Fund	☐		
HC Cadira Sustainable Japan Equity Fund	☐		

Section 1: Registration Details (this section must be completed)

A) Individual/Joint Shareholders

Shareholder 1	Shareholder 2
First Name*	First Name
Family Name*	Family Name
Date of Birth* (mandatory)	Date of Birth (mandatory)
Registered Address -Street 1*	Registered Address - Street 1
Street 2*	Street 2
Town/Country/Postcode*	Town/Country/Postcode
Contact Telephone Number *	Contact Telephone Number
Contact Email Address*	Contact Email Address
Occupation/Business Activity*	Occupation/Business Activity

Shareholder 3	Shareholder 4

First Name

Family Name

Date of Birth
(mandatory)

First Name

Family Name

Date of Birth
(mandatory)

Registered Address - Street 1

Street 2

Town/Country/Postcode

Registered Address -Street 1

Street 2

Town/Country/Postcode

Contact Telephone Number

Occupation/Business Activity

Contact Telephone Number

Occupation/Business Activity

Mailing address (if different from the address of the first named holder)

B) Institutional / Corporate Investors

Registered Account Name* *(including Designation where applicable):*

Registered Address - Street 1*

Street 2*

Town/Country/Postcode*

Contact Telephone Number*

Country of Incorporation*

Occupation/Business Activity*

Contact Email Address*

Mailing address (if different from the registered address)

Existing/ Related Account Number (If applicable):

*** Please note that an account cannot be registered in the name of a Trust. In the case of a Trust the registered account holder(s) must be the Trustee(s) as trustee for the Trust with the name of the Trust added under the Designation.*

Section 2: Contact Details (if applicable)

Email correspondence, where provided, will be the preferred method of communication. If no email is provided, correspondence will then be issued via post. SWIFT communication will be issued where possible.
Please note that an email address is compulsory for the welcome email which will contain the account number confirmation required to place transactions.

EMAIL OR SWIFT CODE (Please ensure the appropriate document is selected to ensure receipt otherwise all options will be selected)	**Welcome Email**	**Contract Note**	**Statements**	**SWIFT**

Section 3: Bank Details (this section must be completed)

Important information regarding bank accounts for subscriptions and redemptions

Third party payments are not permitted for redemptions. Please confirm the details of the bank accounts from which and to which payments will be made below.

A copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence that the bank account details provided for subscriptions and redemption

payments are for a bank account in the registered holder's account name. Accounts in the name of regulated entities are exempt from this requirement.

To meet our anti-money laundering and counter terrorist financing obligations under the current legislation, all joint bank account holders will be required to complete identity and verification requirements, even where those joint bank account holders will not be registered holders of shares or units in the Fund.

Failure to provide all the bank account information and documentation requested as part of this application may result in a delay in setting up the account and subscribing to the Fund.

THIS SECTION MUST BE COMPLETED BY ALL INVESTORS OTHER THAN EQUIVALENTLY REGULATED ENTITIES OPENING AN ACCOUNT IN THEIR OWN NAME OR THE NAME OF THEIR NOMINEE COMPANY, EITHER FOR THEIR OWN BENEFIT OR THE BENEFIT OF ONE OR MORE THIRD PARTIES

BANK ACCOUNT DETAILS FROM WHICH SUBSCRIPTIONS WILL BE PAID
BANK ACCOUNT DETAILS FOR SETTLEMENT OF REDEMPTION (AND DIVIDEND/DISTRIBUTION PROCEEDS IF APPLICABLE)

BENEFICIARY BANK INFORMATION

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN:		
Swift Code / ABA		Reference Code:

CORRESPONDENT BANK INFORMATION
Note: Required if Payment CCY differs to bank account residency or if your bank account does not support Multi currency payments

Correspondent Bank Name	
Correspondent BIC/SWIFT Code/Sort Code/ABA Code	
Correspondent A/c Name	
Correspondent Account Number / IBAN	
Correspondent Bank Address	

A request to change bank account details MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCOMPANIED BY a bank statement or banker's reference (no more than 6 months old) to evidence the new bank account details provided are for a bank account registered account name

NOTES: Please ensure that you have read the Prospectus before completing this Account Opening Form. Defined terms used in this Account Opening Form and Subscription Instruction are those used in the Prospectus (unless the context otherwise requires).

Section 4: Investor AML Due Diligence Information (section must be completed by all applicants)

Anti-Money Laundering (AML) due diligence requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2021.

- Guide to completing due diligence.

Part I – To be completed by all applicants.

Part II – To be completed by all applicants.

Appendix 6 – All applicants to provide AML due diligence documentation outlined in Appendix 6 (as per investor type) in order to establish the identity of an investor and verify same to the extent warranted by risk. **AML documents must be provided in advance before an account can be opened.**

Due Diligence Information - Purpose of the Investment

Part I

Part I (A) to be completed only by natural persons and legal persons investing in their own name for their own benefit. Institutional investors and legal entities investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties must tick Part I (B). This information is required to meet our AML obligations under the current AML legislation in Ireland and will be used solely for those purposes.

A. What is the expected annual subscription to the Fund
_____

How frequent do you expect to trade in the Fund (please tick): Once-Off Subscription ☐

Once a: Month ☐ Quarter ☐ Year ☐

If more frequently than the options provided, please provide an estimate of frequency:
_____

Please indicate the term of your investment (please tick): 3-5 years ☐ 5-10 years ☐ 10+ years ☐

Natural Persons only:
Source of Wealth (activities that generated total net worth): _____
**Confirmation of Source of Wealth requires the Subscriber to confirm the bank account from which funds were generated as well as the specific activity that generated the funds subscribed (e.g. salary payments, sale of shares etc.)*

Source of Funds (activity that generated transaction funding): _____

**Confirmation of Source of Funds requires the Subscriber to confirm the activities that have generated the total net worth of the Subscriber with reasonable collaboration of same (e.g. information and documents such as evidence of title; copies of trust deeds; audited accounts and tax returns).*

B. Institutional investor/ legal entity investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties. If no, see Part 1 (A). Yes ☐ No ☐

Due Diligence Documentation- Investor Type

Part II

Please tick investor type below (please note, investor type indicates the documents/ confirmations required to open account as per Appendix 6):

Private/ Unlisted Company	☐	Charities	☐
Partnership	☐	Trusts/ Foundations	☐
Listed Company	☐	Collective Investment Scheme/Fund	☐
Subsidiary of a Listed Company	☐	School, college or university	☐
Regulated Credit or Financial Institution	☐	Pension Schemes	☐
Nominee Company	☐	Trade Unions	☐
Government Body or Public Authority	☐	Church	☐
Individual	☐	Other- Please specify: _____	☐

Occupation/Business Activity:_____

If you, or any beneficial owners, are a Politically Exposed Person. Yes ☐ No ☐

A Politically Exposed Person ('PEP') means an individual (or immediate family member[2] or close associate[3] of such individual) who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function).

If the application form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature along with due diligence in line with legal type.

Due Diligence Documentation- Leverage Across Investments

I hereby authorize the Administrator to leverage the due diligence documentation provided for the purposes of compliance with applicable regulatory requirements across all investments which I currently hold/ may hold in the future across all funds which are administered by the Administrator.

Yes ☐ No ☐

Due Diligence Documentation- Ultimate Beneficial Owner

Please complete the relevant section to your entity type. The Ultimate Beneficial Owner section must be completed. Non-completion could delay acceptance of subscription.

All Entities

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or control of the entity. For example, in the case of a corporate entity, where there is no person identified as beneficial owner, the natural person(s) who hold the position of senior managing official(s)/director(s) will be deemed the beneficial owners.

[2] An "immediate family member" of a PEP includes (a) any spouse of the PEP; (b) any person who is considered to be equivalent to a spouse of the PEP; (c) any child of the PEP; (d) any spouse of a child of the PEP; (e) any person considered to be equivalent to a spouse of a child of the PEP and (f) any parent of the PEP.

[3] A "close associate" of a PEP includes (a) any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP; or (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

* In cases where shareholder(s) are entities with 25% or more ownership or control, please provide the details of Individual(s) who hold beneficial ownership 25% or more. For Trusts or similar arrangements, Ultimate Beneficial Owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement.

Please complete the below regarding Ultimate Beneficial Owner(s):

Name	Address	% Ownership or control	Nationality	Date of Birth

Note: If there is/ are no Individual(s) with a beneficial interest of 25% or more (either directly or indirectly) of the shares or voting rights of the entity, or anyone that otherwise exercises control of the entity (where applicable), please check the box and insert applicable senior managing official(s) below whom will be deemed the UBO: ☐

Name	Address	Nationality	Date of Birth

Related Person Detail

Full names of all Related Persons:

- In the case of natural persons, Related Persons means any person authorised to act on behalf of the investor
- In the case of a company, Related Persons means the directors.
- In the case of a Partnership, Related Persons means the partners.
- In the case of a limited liability company (LLC), Related Persons means the managing members.
- In the case of a trust, foundation or similar legal arrangement, Related Persons means the trustees.
- In the case of a charity/government body/ university/ school/ college/ club/ society, Related Persons means the authorising officers/ board members/ officials.

Please complete the below:

Name	Address	Nationality	Date of Birth

Declaration - 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.

Signature 1 _____ Print Name_____ Date_____

Signature 2 _____ Print Name_____ Date_____

Section 5: Distribution / Dividend Option (this section must be completed)

I/We would like our distribution

Re-invested ☐

Paid by Cash ☐

Distributions paid by Cash will be paid to the account specified above. Should you require your distribution to be paid to another account, please enter the banking details below. **Please note if no option is indicated such dividend payments will be reinvested.**

If separate bank details are provided a copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence the bank account details provided for redemption payments are for a bank account in the registered account name

BENEFICIARY BANK INFORMATION

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN NO		
Swift Code		Reference Code:

CORRESPONDENT BANK INFORMATION

Note: Required if Payment CCY differs to bank account residency or if your bank account does not support Multi currency payments

Correspondent Bank Name	
Correspondent BIC/SWIFT Code/Sort Code/ABA Code	
Correspondent A/c Name	
Correspondent Account Number / IBAN	
Correspondent Bank Address	

NOTE: NO THIRD PARTY PAYMENTS ARE PERMITTED FOR REDEMPTIONS

Section 6: Agent Information (if applicable)

Agent Name

Agent Address

Contact Name

Contact Telephone Number

Contact Fax Number

VAT Registration Number

Regulator

Regulator Approval Number

Agents Stamp

Agency Number

Commission Terms agreed with the Fund Promoter

Section 7: Investor Tax Residency (this section must be completed)

PLEASE TICK (✓) THE RELEVANT BOX

A) NON-U.S. TAXPAYER ☐

B) U.S. TAXPAYER* ☐

C) ONE OR MORE JOINT APPLICANTS IS A U.S. TAXPAYER ☐

D) NON-U.S. TAXPAYER HOLDING SHARES ON BEHALF OF A U.S. TAXPAYER ☐

If B, C or D has been ticked then each U.S. taxpayer must complete and sign IRS Form W-9 to certify their tax identification number. The form can be downloaded from www.irs.com. Failure to submit a completed IRS Form W-9 (where applicable) will result in a delay in the settling of redemption/dividend proceeds (no interest will accrue).

*"U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Colombia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

U.S. Taxpayers will be required to furnish the Administrator with a properly executed IRS Form W-9. Amounts paid to Shareholders who are U.S. Taxpayers as a distribution from the Fund, or as gross proceeds from a redemption of Shares, will generally be reported to Shareholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Shareholders who are U.S. Taxpayers) may subject such Shareholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Shareholders' U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Shareholders and certain other categories of Shareholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Shareholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

Declaration of exempt Irish resident entities

Declaration referred to in Section 739D(6), Taxes Consolidation

It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

- I declare that the information contained in this declaration is true and correct.

- I also declare that I am applying for the shares/units on behalf of the applicant named below who is entitled to the units in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is: (*please tick ☐ as appropriate)*

  - ☐ a pension scheme;
  - ☐ a company carrying on life business within the meaning of section 706 TCA 1997;
  - ☐ an investment undertaking;
  - ☐ an investment limited partnership;
  - ☐ a special investment scheme;
  - ☐ a unit trust to which section 731(5)(a) TCA 1997 applies;
  - ☐ a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;
  - ☐ a qualifying management company;
  - ☐ entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997* (see further requirement for Qualifying Fund Manager below);
  - ☐ a PRSA Administrator;
  - ☐ a credit union within the meaning of section 2 of the Credit Union Act 1997.

Additional requirements where the declaration is completed on behalf of a Charity

- I also declare that at the time of making this declaration, the units in respect of which this declaration is made are held for charitable purposes only and
  - form part of the assets of a body of persons or trust treated by the Revenue Commissioners as a body or trust established for charitable purposes only, or
  - are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.

- I undertake that, in the event that the person referred to in paragraph (7) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA, 1997, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

Additional requirements where the declaration is completed by a qualifying fund manager / PRSA Administrator

- I/we* also declare that at the time this declaration is made, the units in respect of which this declaration is made
  - are assets of *an approved retirement fund/an approved minimum retirement fund or a PRSA, and
  - are managed by the Declarant for the individual named below who is beneficially entitled to the units.
- I/we* undertake that, if the units cease to be assets of *the approved retirement fund/the approved minimum retirement fund or the PRSA, including a case where the units are transferred

to another such fund or account, I/we* will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

*Delete as appropriate

Additional requirements where the declaration is completed by an Intermediary

- I/we* also declare that I am/we are* applying for shares/units on behalf of persons who
  - to the best of my/our* knowledge and belief, have beneficial entitlement to each of the shares/units in respect of which this declaration is made, and
  - is a person referred to in section 739D(6) TCA 1997.
- I/we* further declare that
  - Unless I/we* specifically notify you to the contrary at the time of application, all applications for shares/units made by me/us* from the date of this application will be made on behalf of persons referred to in section 739D TCA 1997, and
  - I/we* will inform you in writing if I/we* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

* Delete as appropriate

Name of applicant: _____

Irish tax reference number of applicant: _____

Authorised signatory: _____(declarant)

Capacity in which declaration is made: _____

Authorised signatory: _____(declarant)

Capacity in which declaration is made: _____

Date: ____ / ____ / ____

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

IMPORTANT NOTES

1. This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.

2. Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the share/units.

3. In the case of, (i) an exempt pension scheme, the administrator must sign the declaration; (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration; (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA administrator. In the case of an intermediary, the

declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. A copy of the power of attorney should be furnished in support of this declaration.

Declaration of residence outside Ireland

It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares/units. Terms used in this declaration are defined in the Prospectus.

Declaration on own behalf

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

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

*Delete as appropriate

Declaration as Intermediary

I/we* declare that I am/we are* applying for shares/units on behalf of persons:

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

*Delete as appropriate

Name and address of applicant: _____

_____

Signature of applicant or authorised signatory:_____ (declarant)
Capacity of authorised signatory (if applicable):_____

Date: ____ / ____ / ____

Joint Applicants:
Names: _____ **Signatures:** _____

_____ _____

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

IMPORTANT NOTES
1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue

Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.

3. If the application form (incorporating the declaration required by the Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

Return of Values (Investment Undertakings) Regulations 2013

The Return of Values (Investment Undertakings) Regulations 2013(S.I. 245 of 2013) (the "Regulations") requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders. In order to satisfy the Regulations, the Fund must collect the following additional information from any applicants[4] which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations). Therefore any individual, company or any unincorporated body of persons which are an Irish resident or ordinarily Irish resident must provide the following additional information:

Tax Identification Number (TIN) / PPS Number	

Any *one* of the following additional documents is required to verify the TIN or PPS Number (a copy is sufficient)

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

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contains your name, address and tax reference number will also be acceptable. In the case of joint account holders, the additional documentation is required for each applicant.

Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the Fund in accordance with the Data Protection Legislation. Your information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.

[4] Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

Section 8: FATCA & CRS (this section must be completed by all applicants)

Entity Self-Certification for FATCA and CRS

Instructions for completion and Data Protection notice.
We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this Account Opening 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 2018. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

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

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

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

(Mandatory fields are marked with an *)

***Section 1: Account Holder Identification**

***Account holder Name: _____ (the "Entity")**

Country of Incorporation or Organisation: _____

***Current (Resident or Registered) Address:**

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country:_____

Mailing address (if different from above):

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____Country: _____

***Section 2: FATCA Declaration:**
Please tick either (a), (b) or (c) below and complete as appropriate.

a) The Entity **is** a ***Specified U.S. Person*** and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN: _____ ☐

Or

b) The Entity is **not a *Specified U.S. Person*** (Please also complete Sections 3, 4 and 5) ☐

Or

c) The Entity is a **US person but not a *Specified U.S. Person*** (Please also complete Sections 4 and 5) ☐

Indicate exemption: _____

***Section 3: Entity's FATCA Classification** (the information provided in this section is for FATCA, please note your FATCA classification may differ from your CRS classification in Section 5):

3.1 Financial Institutions under FATCA:
If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

I.	*Irish Financial Institution* or a *Partner Jurisdiction Financial Institution*	☐
II.	*Registered Deemed Compliant Foreign Financial Institution*	☐
III.	*Participating Foreign Financial Institution*	☐

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

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

I.	The Entity has not yet obtained a *GIIN* but is sponsored by another entity which does have a *GIIN.* Please provide the sponsor's name and sponsor's *GIIN :* **Sponsor's Name:** _____ **Sponsor's *GIIN:*** □□□□□□.□□□□□□.□□.□□□ ***NOTE:*** *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.	☐
II.	***The Entity is an Exempt Beneficial Owner,*** *Please tick and confirm the category of Exempt Beneficial Owner;* ➢ ☐Government Entity ➢ ☐International Organisation ➢ ☐Foreign Central Bank ➢ ☐Exempt Retirement Fund ➢ ☐Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.	☐
III.	***The Entity is a Certified Deemed Compliant Foreign Financial Institution*** *(including a deemed compliant Financial Institution* under Annex *II of the IGA Agreement)* *Indicate exemption:* _____	☐
IV.	***The Entity is a Non-Participating Foreign Financial Institution***	☐
V.	***The Entity is an Excepted Foreign Financial Institution*** *Indicate exemption:* _____	☐
VI.	***The Entity is a Trustee Documented Trust.*** *Please provide your Trustee's name and GIIN* *Trustee's Name:* _____ *Trustee's GIIN:* □□□□□□.□□□□□□.□□.□□□	☐

3.4. Non-Financial Institutions (Non-Financial Foreign Entity/NFFE) under FATCA:

If the Entity is **not a Financial Institution**, please confirm the Entity's FATCA classification below by ticking one of the below categories

I.	***Active (NFFE)***	☐

II.	***Passive (NFFE)*** *(Please tick the box that applies)* ***I. Passive (NFFE) with no Controlling Persons that are specified U.S Persons.*** *II.* ***Passive (NFFE) with Controlling Persons that are specified U.S Persons.*** *(If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2.*	☐ ☐
III.	***Excepted (NFFE)***	☐
IV.	***Direct Reporting (NFFE)*** *Please provide your GIIN* ☐☐☐☐☐☐.☐☐☐☐☐.☐☐.☐☐☐	☐

***Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency**
(Note that Entities may have more than one country of Tax Residence)

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 and TIN's.
http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759

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.

NOTE: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

a) You are tax resident in a Jurisdiction that does not issue a (TIN)
Or
b) You are only tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

☐ ***Reason A*** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

☐ ***Reason B*** - The Account Holder is otherwise unable to obtain a TIN *(Please explain why you are unable to obtain a TIN if you selected Reason B)*

_____

☐ ***Reason C*** - No TIN is required. (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)

_____

***Section 5: Entity's CRS Classification**
(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 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/

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: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.
http://www.revenue.ie/en/business/aeoi/participating-jurisdictions.pdf

I.	***A Reporting Financial Institution resident in a participating CRS jurisdiction***	☐
II.	***A Financial Institution Resident in a Non-Participating Jurisdiction*** *(Please also tick the box that applies)* ☐ **An *Investment Entity* resident in a *Non-Participating Jurisdiction* and managed by another *Financial Institution*** (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in section 6 below and complete a separate individual self-certification forms for each of your Controlling Persons") ☐ **An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution** ☐ **Other Financial Institution**, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company	☐

III.	**Non-Reporting Financial Institution under CRS.** **Specify the type of Non-Reporting Financial Institution below:** ☐ Governmental Entity ☐ International Organization ☐ Central Bank ☐ Broad Participation Retirement Fund ☐ Narrow Participation Retirement Fund ☐ Pension Fund of a Governmental Entity, International Organization, or Central Bank ☐ Exempt Collective Investment Vehicle ☐ Trust whose trustee reports all required information with respect to all CRS Reportable Accounts ☐ Qualified Credit Card Issuer ☐ Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law: _____	☐

5.2 Non Financial Institution ("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.

I.	***Active NFE*** – a corporation the stock of which is regularly traded on an established securities market. Please provide the name if the established securities market on which the corporation is regularly traded: _____	☐
II.	***Active NFE*** – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____ Please provide details of the securities market that the entity is listed on : _____	☐
III.	***Active NFE*** – a Government Entity or Central Bank	☐
IV.	***Active NFE*** – an International Organisation	☐
V.	***Active NFE – other*** than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	☐
VI.	***Passive NFE*** - (if this box is ticked, please also complete Section 6.1 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)	☐

Section 6: Controlling Persons

NB: Please note that each Controlling Person must complete a separate *"Individual (including Controlling Persons) FATCA and CRS Self-Certification"* form.

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

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.
http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/

6.1 Controlling Person(s) of the Account Holder:
If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate *"Individual (including Controlling Persons) FATCA and CRS Self-Certification"* form for each Controlling person as per 6.2 below:

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

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 for each Controlling Person listed in Section 6.1.

***Section 7: Declarations and Undertakings**

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

I/We acknowledge and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I/We undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

***Authorised Signature(s):**

_____ _____

***Print Name(s):**

_____ _____

***Capacity in which declaration is made:**

_____ _____

***Date: (dd/mm/yyyy):** _____

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

Individual (including Controlling Persons) Self-Certification for FATCA and CRS

Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. 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 2018. Please note that in in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

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

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

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

Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.
Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

(Mandatory fields are marked with an *)

***Section 1: Account Holder/Controlling Person Identification**

***Account Holder / Controlling Person Name:** _____

***Current Residential Address:**

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

***Place and Date of Birth**

*Town or City of Birth: _____ *Country of Birth: _____

*Date of Birth: _____

***Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes:**
Please tick either (a) or (b) and complete as appropriate.

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

_____

OR

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

***Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax 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 on Tax Residence and TINs, please refer to the OECD CRS Information Portal *http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759*

NOTE: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

a) You are tax resident in a Jurisdiction that does not issue a (TIN), **Or,**
b) You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

If a TIN is unavailable, please tick the appropriate box as follows;

☐ ***Reason A*** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

☐ ***Reason B*** - No TIN is required. (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)

☐ ***Reason C*** - The Account Holder is otherwise unable to obtain a TIN *(Please explain why you are unable to obtain a TIN if you selected Reason C)*

_____

Section 4 – Type of Controlling Person

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

For Joint or multiple Controlling Person(s) please complete a separate *"Individual (Including Controlling Persons) Self-Certification for FATCA and CRS* form for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that plies to you/the Account holder by ticking the appropriate box	Please Tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

***Section 5: Declaration and Undertakings:**
I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

Data Protection - Customer Information Notice:

The Common Reporting Standard (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/*
And on the Irish Revenue website -*https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx*

***Authorised Signature:** _____

***Print Name:** _____

***Date: (dd/mm/yyyy):** _____

***Capacity (if Controlling Person):** _____

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

Section 9: Representations and Warranties (this section must be completed by all applicants)

- I/We confirm that I am/we are 18 years of age or over.

- I/We, having received and considered a copy of the current Prospectus, any relevant supplements thereto and the most recent annual and/or semi-annual report of the Fund (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Account Opening Form. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the KIID and/or KID, as relevant, has been supplied to me/us. I/We confirm that I/We have read the KIID and/or KID, as relevant, and that any future investments to any other sub-fund or share class of the umbrella fund can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID and/or KID, as relevant, for each Share Class is available at the Manager's website at https://harringtoncooper.com/harrington-cooper-asset-management-funds/and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Fund. I/We request and authorise [ ] to act in accordance with my/our instructions. I/We hereby represents that I/we have regular access to the internet and consider it to be an appropriate medium for accessing KIID and/or KID, as relevant.

- I/We represent and warrant that I/we are (i) a trustee of a UK pension scheme (a "UK Pension Scheme"), or (ii) a sub-fund of an Irish common contractual fund, all of the units of which are held by UK Pension Schemes:

  Yes ☐ No ☐ *(please tick the appropriate box)*

  If the "yes" box is ticked, then:

  (a) the scheme participants in any UK Pension Scheme shall not, for the purposes of completion of this Application Form, be considered the beneficial owners of the Shares solely by virtue of being a participant in a UK Pension Scheme; and

  (b) no representation, warranty or undertaking given by me/us in relation to my/our investment in the relevant Sub-Fund shall be considered to have been given by or on behalf of any scheme participant in any UK Pension Scheme.

  Agree ☐ Disagree ☐ *(please tick the appropriate box)*

- Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.

- I/We warrant that the signatories signing this Application Form are duly authorised to sign this Application Form and to subscribe for or redeem the Shares in the Fund. I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or semi-annual report (if available) thereto.

- I/We certify that I am a/we are eligible to invest in the Fund and I am/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any Shares which I/we may purchase to any person or entity who/which is

not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.

- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Account Opening Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.

- I/We agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator and the Fund 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 Account Opening Form.

- 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 Fund.

- I/We understand that the tax disclosure set forth in the Prospectus 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.

- I/We acknowledge the right of Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.

- Please tick (✓) as appropriate:-[5]

(a) ☐ I am a U.S. Person (as defined in the Prospectus) and have completed the Account Opening Form[6] for applicants who are U.S. Persons; or

(b) ☐ I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular: (a) I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or

to or for the benefit of, directly or indirectly, any U.S. Person; (b) I am not/none of us is a U.S. Person; and (c) I am not/none of us is acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.

- I/We will hold Shares on behalf of a U.S. Taxpayer (as defined below):

[5] Client's US counsel to review.
[6] Client's US counsel to provide US Person specific Application Form.

Yes ☐ No ☐ *(please tick the appropriate box)*

If the "yes" box is ticked, then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Fund with such additional tax information as it may from time to time request.

*"U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Colombia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

- I/We declare that the entity hereby subscribing for Shares is neither a Benefit Plan Investor nor investing on behalf of or with any assets of a Benefit Plan Investor as defined below. (Benefit Plan Investors should contact the Fund.) "Benefit Plan Investor" is used as defined in Section 3 (42) of the U.S. Employee Retirement Income Security Act of 1974, as amended ("ERISA"), and includes (i) any employee benefit plan (as defined in Section 3(3) of ERISA) that is subject to Title I of ERISA; (ii) any plan described in and subject to the prohibited transactions provisions of Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the "Code"); and (iii) any entity whose underlying assets are treated as "plan assets" by reason of investment in the entity by an employee benefit plan or a plan that is described in part (ii) of this Paragraph 41 (generally because 25 per cent. or more of a class of interests in the entity is owned by Benefit Plan Investors). Benefit Plan Investors also include that portion of any insurance company's general account assets that are considered "plan assets" and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.

- If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association ("NFA"), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.

- Investment Company Representations:

(a) ☐ I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the "1940 Act"), nor an issuer that, but for an exception from the definition of "investment company" under the 1940 Act, would be an investment company,

(b) ☐ I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.

I/We have ____ U.S. Person beneficial owner(s).

(State the number, not the percentage, of U.S. Person beneficial owners. Investment companies with U.S. Person beneficial owners must contact the Administrator.)

- By ticking the box below, I/we (**or any person or entity on whose behalf Shares in the Fund are being acquired)** confirm that I/we do not constitute any of the following:

(i) Russian national
(ii) Natural person residing in Russia
(iii) Legal person, entity or body established in Russia
(iv) Legal person, entity or body which is owned by a Russian national or a natural person residing in Russia
(v) Belarusian national
(vi) Natural person residing in Belarus
(vii) Legal person, entity or body established in Belarus;
(viii) Legal person, entity or body which is owned by a Belarusian national or a natural person residing in Belarus

Note: The box below should **not** be ticked if the applicant is a Russian or Belarusian national or natural person residing in Russia or Belarus or an owner of a Russian or Belarusian legal person, entity or body **and** the applicant is also permanently or temporarily resident in an EU Member State or is a national of an EU Member State.

☐

This information is being gathered by the Fund in order to comply with applicable obligations imposed on it under Article 5f of Council Regulation (EU) 833/2014 as amended and Article 1(y) of Regulation (EC) No 765/2006 as amended.

- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Account Opening Form.

- I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.

- The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile, email, or other electronically approved methods. I/we hereby acknowledge and agree that in sending instructions by facsimile or email, or other electronically approved methods, we have consented to such methods. I/We hereby agree to indemnify the Fund and the Administrator , on its own behalf and as agent of the Fund and agree to keep the Fund and the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Fund and the Administrator acting upon such instructions. The Fund and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

- With regard to electronic dealing, I/We acknowledge and agree the following: (i) email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses; (ii) using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and I/we will bear the risks if I/we wish to conduct my/our dealings using email; (iii) the Administrator is authorised and instructed to accept and execute any instructions in respect of Shares in the Fund given by the Subscriber in PDF form or by email and the Administrator will

rely conclusively upon, and neither the Fund nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine; (iv) neither the Fund nor the Administrator will be responsible or liable for the authenticity of instructions received from the Subscriber or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.

- Neither the Fund nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by me/us in PDF form or by email, including without limitation, my/our use of an incorrect email address, failure of my/our transmission, interception, alteration or corruption of my/our email transmission, non-receipt of my/our electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Fund nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.

- I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.

- I/We hereby undertake to observe and be bound by the provisions of the Fund's constitutional documents (as amended from time to time) and apply to be entered in the register of Shareholders as the holder/holders of the Shares issued in relation to this application.

- In respect of joint applicants only, 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.

- I/We confirm that I/we have read in detail the Data Protection Notice appended to this Account Opening Form as Appendix 5. I/We acknowledge that this document provides an outline of my/our data protection rights and the Fund's and Manager's data protection obligations as they relate to my/our investment in the Fund.

- I/We represent and warrant that all personal data provided to the Fund or its delegates (including, without limitation, the Manager, the Investment Manager and/or the Administrator) by me/us (or the party that I am/we are acting for) 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 Fund or its delegates (including, without limitation, the Manager, the Investment Manager and/or the Administrator) is accurate and up to date, and I/we shall promptly notify the Fund and/or the Administrator if the it becomes aware that any such data is no longer accurate or up to date.

- In accordance with the Data Protection Acts 1988 to 2018 (as may be amended or supplemented from time to time) and the EU's General Data Protection Regulations 2016/679 (the "GDPR") (together the "Data Protection Legislation"), I/we hereby acknowledges and is/are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Fund, on application or at any other time, including without limitation name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "Personal Data"), will be collected, stored, adapted, transferred and processed by electronic means or otherwise by the Fund as a "data controller" under the Data Protection Legislation, and as further described in the Fund's Data Protection Notice.

- I/We shall promptly provide the Data Protection Notice to (i) each individual whose personal data I/we provide or will provide to the Fund or any of its delegates (including, without limitation, the Manager, the Investment Manager and/or the Administrator) in connection with my/our (or the party that I am/we are acting for) investment in the Fund (such as 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 Fund or any of its delegates (including, without limitation, the Manager, the Investment Manager and/or the Administrator). I/we shall also promptly provide to any such individual, on request by the Fund or any of its delegates, any updated versions of the Data Protection Notice and the data protection notice (or other data protection disclosures) of any third party to which the Fund or any of its delegates has directly or indirectly provided that individual's personal data.

- I/We agree to provide to the Fund and the Administrator at such times as each of them may request such declarations, certificates, self-certification forms, withholding statements or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax, FATCA and/or CRS regulations and reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.

- In addition to the Tax Information, I/We agree to promptly provide, and periodically update, at any times requested by the Administrator with any information (or verification thereof) the Administrator deems necessary for the Fund to comply with tax reporting requirements, FATCA and/or CRS (including any imposed by any inter-governmental agreement (IGA) or any legislation, law, regulation or other official guidance in relation to any IGA on the implementation of FATCA or CRS). This may include such information as is required to evidence the Fund's (or any accountholder in the Fund's) status for FATCA or CRS purposes, including (not limited to) whether the Fund is a financial institution, or whether its account holders are US persons for purposes of FATCA, or what the account holder's country of tax residence for purposes of CRS.

- We represent and warrant the completeness and accuracy of any information provided to the Administrator in relation to the Fund (as at the date of submission) and authorise the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requirements. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Fund harmless from any liability resulting from my/our failure to provide complete and accurate Information.

- I/We hereby acknowledge that if I/we fail to provide any information and such failure results in the Fund being unable to comply with FATCA, any IGA or CRS, the Fund may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.

- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number

or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.

- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Fund and/or Unit Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.

- I/We acknowledge that the Fund intends to take such steps as may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/We further acknowledge that this may, in specific circumstances, require the Fund or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of my/our information (including details of my/our investment in the Fund) to the Irish Revenue Commissioners and other relevant tax authorities. I/We hereby agree to the transmission of such data by the relevant party to the Irish Revenue Commissioners and/or other relevant tax authorities, as is required to comply with DAC6.
- In order for the Fund to comply with the above DAC6 obligations, I/we agree to provide to the Fund, Administrator or any party that falls to be considered an "intermediary" for the purposes of DAC6 for a particular transaction, any necessary information at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of DAC.
- I/We will comply with such beneficial ownership notices issued by the Fund or the Administrator on its behalf seeking beneficial ownership information concerning the applicant/ investor as required in accordance with current anti-money laundering and counter terrorist financing legislation. I/We understand that it is an offence where I/we fail to comply with such beneficial ownership notices or where I/we make a false statement in respect of same. I/We understand that where I am /we are a beneficial owner of the Fund, I/we must notify the Fund where the Fund's beneficial ownership register does not contain my/our details and where I/we have not received a beneficial ownership notice from the Fund.
- I/We acknowledge that verification of the identity of the applicant, any beneficial owner of such applicant (and/or where relevant, any underlying investor's identity) is required to take place before the establishment of the business relationship. Subscription applications will not be accepted (and any subscription monies received will be returned less interest/charges) if the verification of such identity has not been completed and if all relevant account opening documentation has not been received. In such circumstances, such subscription monies will be held in the Umbrella Cash Accounts (See below) until return. The Fund and the Administrator shall be held harmless and indemnified against any loss arising as a result of a failure to process the subscription application if such information requested by the Administrator and/or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We further acknowledge that in the event that I/we fail to submit the necessary documentation requested by the Fund and the Administrator or its/their delegate as required in accordance with current anti-money laundering and counter terrorist financing legislation, the Fund and the Administrator may refuse to make any redemption and/or dividend payments to me/ us and /or may compulsorily redeem any Shares held by me/us. In such circumstances, such redemption monies or dividend monies will be held in the Umbrella Cash Account (See below). The Fund and the Administrator shall be held harmless

and indemnified against any loss arising as a result of a delay in processing any redemption requests if such information requested by the Fund and/or the Administrator has not been provided by me/us or has been provided in incomplete form.

- [I/We understand and agree that the Fund prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any U.S., EU or international laws and regulations, including anti-money laundering regulations or conventions, and/or (ii) on behalf of persons or entities, including terrorists or terrorist organizations, which are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time, or the lists maintained by the United Nations, by the European Commission, Commission or the European Union's External Action Service ("EEAS") or any other similar lists maintained by another governmental or regulatory authority; or (iii) for a foreign shell bank (such persons or entities in (i)-(iv) are collectively referred to as "Prohibited Persons").
- I/We represent, warrant and covenant that: (i) I/we are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners[1], (A) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (B) based on such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (C)I/we hold the evidence of such identities and status and will maintain all such evidence for at least five years from the date of my/our complete redemption from the Fund, and (D) I/we will make available such information and any additional information that the Fund may require upon request in accordance with applicable regulations].
- I/We acknowledge that the Fund has established a number of cash accounts in different currencies at umbrella level for and on behalf of the Fund into which: (i) subscription monies, received from investors who have subscribed for Shares, are deposited and held until either (a) those Shares are issued on the relevant Dealing Day or (b) (where the investor has failed to submit the necessary documentation in accordance with current anti-money laundering and counter terrorist financing legislation) the monies are returned to the investor; (ii) redemption monies, due to investors who have redeemed Shares, are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shares are deposited and held until paid to such Shareholders (hereinafter referred to as "Umbrella Cash Accounts"). I/We acknowledge that all subscriptions, redemptions and dividends payable to or from a Sub-Fund are channelled and managed through Umbrella Cash Accounts. I/We acknowledge that my/our subscription/redemption/dividend monies will be paid into an Umbrella Cash Account, that such monies will be treated as an asset of the relevant Sub-Fund and that I/we will not benefit from the application of any investor money protection rules and that I/we will be an unsecured creditor of the relevant Sub-Fund whilst our subscription/redemption/dividend monies are held in the Umbrella Cash Account. I/We acknowledge that in the event that the Fund or relevant Sub-Fund has insufficient assets to discharge its liabilities while my/our monies are held in an Umbrella Cash Account, there is no guarantee that the Fund or relevant Sub-Fund will have sufficient funds to pay unsecured creditors in full.
- I/We acknowledge that the following risks arise in relation to the operation of an Umbrella Cash Account:- (i) in the event that subscription monies received and held in an Umbrella Cash Account are lost (including in the event of insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor on the relevant Dealing Day, the relevant Sub-Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Sub-Fund), in which case such loss will need to be discharged out of the assets of the relevant Sub-Fund and will therefore represent a diminution in net asset value per Share for existing Shareholders of the relevant Sub- Fund; (ii) in the event that redemption or dividend monies held in an Umbrella Cash Account are lost (including in the event of insolvency of the bank with which such monies are held) prior to payment to the relevant investor, the relevant Sub-Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Sub-Fund), in which case such loss will need to be discharged out of the assets of the relevant Sub-Fund and will therefore represent a diminution in the

net asset value per Share for existing Shareholders of the relevant Sub-Fund; (iii) in the event that the Fund or relevant Sub-Fund has insufficient assets to discharge its liabilities, there is no guarantee that the Sub-Fund or the Fund will have sufficient funds to pay unsecured creditors in full.

- Investors who have forwarded subscription monies in advance of a Dealing Day and which are held in an Umbrella Cash Account, and investors due redemption/ dividend monies which are held in an Umbrella Cash Account, will rank equally with all other unsecured creditors of the relevant Sub-Fund and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors. In such circumstances: (i) the investor subscribing for Shares may therefore not recover all monies originally paid into the Umbrella Cash Account in relation to the application for Shares; and (ii) the redeeming investor entitled to redemption monies and the Shareholder entitled to a dividend payment may not recover all monies originally paid into the Umbrella Cash Account for onward transmission to that investor; and in addition, investors should note that in the event that the Fund or relevant Sub-Fund has insufficient assets to discharge its liabilities, recovery of any amounts to which a relevant Sub-Fund is entitled, but which may have been used by other insolvent Sub-Funds as a result of the operation of the Umbrella Cash Account(s), will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Accounts. There may be delays in effecting and/or disputes as to the recovery of such amounts, and the insolvent Sub-Fund may have insufficient funds to repay as due to the relevant Sub-Fund.

Signature

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

Date: _____

Signed	Signatory Capacity if applicable (i.e. Director/manager)
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

IMPORTANT –
RETAIL INVESTORS - IN THE CASE OF ALL JOINT HOLDERS – ALL HOLDERS MUST COMPLETE THIS DECLARATION & PROVIDE A VALID PROOF OF IDENTIFICATION

INSTITUTIONAL INVESTORS - IN THE CASE OF CORPORATE INVESTORS – A VALID SIGNATURE LIST MUST BE PROVIDED AT ACCOUNT OPENING

Section 10: Appendices

Appendix 1 - Dealing Procedure

All dealing instructions in relation to the Shares in the Fund must be received before the time(s) specified in the Fund's Prospectus and/or relevant Sub-Fund Supplement as the case may be, together, the "Prospectus"). Dealing Instructions received after such times will generally be deemed to have been received for the next relevant dealing day.

No redemption payment may be made until the Account Opening Form has been received and the Administrator is satisfied that all necessary anti-money laundering checks have been completed in full.

By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.	

Dealing and Holding Minimums

Applicants for Shares should refer to the section entitled "VALUATION, SUBSCRIPTIONS AND REDEMPTIONS" within the Prospectus for details of the Fund's subscription procedures and to the Supplement(s) for specific dealing information relating to each Share Class.

Any application for Shares will be made on terms of the Prospectus and relevant Supplement in issue as at the date of the subscription application.

NOTES:

- Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.
- If subscribing for Shares in more than one Sub-Fund investors must clearly mark the payment reference accounts for each particular Sub-Fund and the sub-account.
- The Base Currency of the Sub-Fund and the designated currency of any Shares will be set out in the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class. At the discretion of the Fund, applications may be accepted in currencies other than the Base Currency.
- Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

Appendix 2 - Payment details

	FOR GBP SETTLEMENT	FOR EURO SETTLEMENT	FOR USD SETTLEMENT	FOR CHF SETTLEMENT
When making an international payment use the intermediary bank details below:				
Intermediary Bank:	Barclays Bank	Barclays Bank PLC,		Credit Suisse AG
Intermediary Address:	1 Churchill Place, London E14 5HP	Frankfurt		Giesshuebelstrasse 30 CH-8070 Zurich Switzerland
Intermediary SWIFT Code:	BARCGB22	BARCDEFF		CRESCHZZ80A
Intermediary Banks Sort Code:	203253			
Beneficiary Banks Account Number	53529495	0210472800		IBAN: CH1004835098499033010
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
			FedwireABA: 026001122 CHIPS: 0112	N/A
Beneficiary Bank SWIFT code:	CNORUS33	CNORUS33	CNORUS33	CNORUS33
Beneficiary account name & number:	662833-20019 Harrington Cooper UCITS Funds ICAV	662882-20019 Harrington Cooper UCITS Funds ICAV	248005-20010 Harrington Cooper UCITS Funds ICAV	662981-20019 Harrington Cooper UCITS Funds ICAV
Reference: Register number and/or order number				

	FOR DKK SETTLEMENT	FOR JPY SETTLEMENT	FOR NOK SETTLEMENT	FOR SEK SETTLEMENT
When making an international payment use the intermediary bank details below:				
Intermediary Bank:	Nordea Bank A/S	Bank of America, NA	DNB Bank ASA	Nordea Bank AB
Intermediary Address:	Copenhagen	Tokyo	Oslo	Stockholm
Intermediary SWIFT Code:	NDEADKKK	BOFAJPJX	DNBANOKK	CRESCHZZ80A
Intermediary Banks Sort Code:				
Beneficiary Banks Account Number	5000021034	50234015	70010241705	IBAN: SE5030000000039527707854
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
Beneficiary Bank SWIFT code:	CNORUS33	CNORUS33	CNORUS33	CNORUS33
Beneficiary account name & number:	663039-20019 Harrington Cooper UCITS Funds ICAV	663088-20019 Harrington Cooper UCITS Funds ICAV	663138-20019 Harrington Cooper UCITS Funds ICAV	663187-20019 Harrington Cooper UCITS Funds ICAV
Reference: Register number and/or order number				

(please do not include a dash in the beneficiary account number)

**GBP payments, if you are not able to pay by international payment please contact + 353 1 434 5122 for more details.*

Note: Currency subscription settlement times

GBP 16:00 GMT
EURO 14:30 GMT
USD 16:00 GMT
CHF 08:30 GMT
DKK 09.00 GMT

1.1 JPY 14:00 GMT BD-1

NOK 10:30 GMT
SEK 11:30 GMT

Note: Monies must come from the account of the investor.

Please specify your Ordering Institution details for subscriptions*

Currency _____

Correspondent Bank _____

Swift/ABA _____

Account Number _____

Appendix 3 - Subscription Form (complete only upon receipt of account number confirmation)

ABC Fund (the "Fund")

This Subscription Form constitutes your agreement to subscribe for Shares[7] in the Fund. Please note the administrator does not require the original of this document to be posted to them.

Please complete this form in blue or black ink using BLOCK CAPITALS:

ABC Fund
C/o Northern Trust International Fund Administration Services (Ireland) Limited
2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon,
Limerick,
V94 X2N9,
Ireland

REGISTERED INFORMATION

Registered Account Name

Account Number[8]

Your Company Contact

Name: Phone No:

E-Mail Address:

DEAL INSTRUCTIONS

Amount to be invested Amount Shares/Units

Amount in words

Name of Sub-Fund

Share/Unit Class

[8] Please note you would have received this by email from the Administrator
[8] Please note you would have received this by email from the Administrator

ORIGINATING ACCOUNT DETAILS

Bank Name			
Bank Address			
Sort Code		ABA	
Account Name			
Account Number			
Payment Reference			

Note: Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

.A request to change bank account details MUST BE MADE IN WRITING TO THE ADMINSTRATOR AND MUST BE ACCOMPANIED BY THE REQUIRED BANK ACCOUNT EVIDENCE DOCUMENTATION. Please see below for further details of bank account evidence requirements:

Bank account evidence documentation must include one of the below:

- Original or copy printed bank statements on headed paper showing the investor's name, address and account details;

OR

- Printed correspondence from the bank which confirms the investor's account name, address and account details, duly certified as a true copy of the original

Documents requiring certification must be certified as a true copy of the original by a police officer, chartered or certified public accountant, notary public, solicitor, embassy or consular staff or your bank. The original stamped wet-ink certification document is required and must:

- Use the form of wording "Certified as a true copy of the original of which it purports to be a copy"; and
- Contain contact name, landline telephone number and capacity of the person / entity certifying the document.

PLEASE NOTE:

- Monies must originate from the account of the investor.
- Failure to complete these details accurately and in accordance with the signed Account Opening Form and forward monies within the relevant settlement time scale may result in the loss of good value and an interest claim from the Fund.
- I/We confirm that I/we have the authority to make this investment.
- I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the KID and/or KID, as relevant, has been supplied to me/us in relation to this new Sub-Fund or Share/Unit Class. I/We confirm that I/We have read the KID and/or KID, as relevant,. I/We also acknowledge and agree that the updated KID and/or KID, as relevant, for each Share Class is available at the Manager's website at https://harringtoncooper.com/harrington-cooper-asset-management-funds/ and that I/we will read and review the most up-to-date version of the relevant KID and/or KID, as relevant, prior to making any subsequent application for

Shares in the Fund. I/We confirm that any future investments to any other Sub-Fund or Class of the Fund can also be transacted based on this confirmation.

- If you wish to submit this instruction via email you must do so by attaching the instruction to the email as a PDF document, please follow the procedure outlined in Appendix 7 hereto.
- I/We hereby agree to indemnify and hold harmless the Administrator, on its own behalf and as agent for the Fund, and its directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Fund or the Administrator with this Subscription Form or the Account Opening Form. The Administrator will not be responsible or liable for the authenticity of instructions received from me/us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.

Authorised Signatories	Print Name
Signatory 1	
Signatory 2	
Signatory 3	
Signatory 4	
Date	

Appendix 4 - Redemption Form

ABC Fund (the "Fund")

Please note the administrator does not require the original of this document to be posted to them.

Please complete this form in blue or black ink using BLOCK CAPITALS

ABC Fund
C/o Northern Trust International Fund Administration Services (Ireland) Limited
2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon,
Limerick,
V94 X2N9,
Ireland

REGISTERED INFORMATION

Registered Account Name

Account Number

Your Company contact

Name: Phone No:

E-mail Address:

DEAL INSTRUCTIONS

Amount to be redeemed Amount Shares

Amount in words

Name of Sub-Fund

Share/Unit Class

BANK ACCOUNT DETAILS (*Where the below bank account instructions differ from those held on file by the Administrator, a signed copy of the new instructions together with a copy of a bank statement (less than 6 months old) or banker's reference must be received by the Administrator in advance of the remittance of redemption proceeds).*
Please note that the administrator no longer requires original documentation.
Where a signature is required, instructions must be provided by an authorised signatory or signatories.

Bank Name

Bank Address

Sort Code ABA

Account Name

Account Number

IBAN Number	
Correspondent Bank & Swift Code F.F.C to:	Name: Swift Code:
Account Name	
Account Number	

Any redemption proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

PLEASE NOTE

- I/We confirm that I/we have the authority to make this redemption request.
- If you wish to submit this instruction via email you must do so by attaching the instruction to the email as a PDF document, please follow the procedure outlined in Appendix 7 hereto.
- I/We hereby agree to indemnify and hold harmless the Administrator on its own behalf and as agent for the Fund and its respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Fund or the Administrator with this Redemption Form. The Administrator will not be responsible or liable for the authenticity of instructions received from me/us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.

Authorised Signatories	Print Name
Signatory 1	
Signatory 2	
Signatory 3	
Signatory 4	
Date	

Appendix 5 - Data Protection

This notice sets out how the Fund will process personal information (as a Data Controller)

Where your details are provided to the Fund as a consequence of your investment in the Fund, then the Fund, acting as a data controller may itself (or through a third party including, but not limited to, the Manager, the Investment Manager, the Administrator and their duly authorised agents and any of their respective related, associated or affiliated companies) process your personal information or that of your directors, officers, employees and/or beneficial owners.

In certain limited circumstances, each of the Administrator and the Depositary may itself use your personal data for its own purposes and as a result be considered a data controller of such data. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against each of the Administrator and Depositary.
In connection with this, please note the following:
Purposes of Processing and Legal basis for processing

Your personal data may be processed by the Fund or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- to facilitate the opening of your account with the Fund, the management and administration of your holdings in the Fund and any related account on an on-going basis (the "Services") which are necessary for the performance of your contract with the Fund, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;

- in order to carry out anti-money laundering checks and related actions which the Fund considers appropriate to meet any legal obligations imposed on the Fund relating to, or the processing in the public interest or to pursue the Fund's legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent 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 Fund and the Administrator's anti-money laundering procedures;

- to report tax related information to tax authorities, including its FATCA/CRS reporting obligations in order to comply with a legal obligation;

- to monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Fund and its affiliates', itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Fund, (v) to pursue the Fund's legitimate interests in relation to such matters or (vi) where the processing is in the public interest;

- to disclose information to other third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Fund or in order to pursue the legitimate interests of the Fund;

- to make relevant disclosures in the course of a merger, acquisition or bankruptcy of the Fund or any sub-fund. to manage the Fund, including monitoring and resolving complaints and to send administrative information relevant to the investment in the Fund to pursue the legitimate business interests of the Fund;

- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund to improve its service delivery;

- to update and maintain records and fee calculation;

- to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests; and

- which are necessary to comply with the Fund or the Administrator's legal obligations and/or which are necessary for the Fund or the Administrator's legitimate interests indicated above and/or the processing is in the public interest.

Recipients of Data and International Transfer of Data

The Fund may disclose your personal information to its relevant service providers and/or other third parties including, but not limited to:

- the Manager, currently Harrington Cooper Asset Management Limited;
- the Distributor, Harrington Cooper LLP and its delegates;
- the Administrator, Registrar and Transfer Agent, currently Northern Trust International Fund Administration Services (Ireland) Limited and its affiliates;
- the Depositary, currently Northern Trust Fiduciary Services (Ireland) Limited and its affiliates;
- the Auditors, currently Deloitte;
- the Legal Advisors, currently Dillon Eustace LLP;
- the Secretary;
- the MLRO,;
- any Investment Managers;
- any sub-investment manager or investment adviser of the Fund;
- any relevant paying agent, representative or distributor;
- the Irish Revenue and other national revenue authorities;
- national regulators, including the Central Bank of Ireland;
- an Garda Síochána.

International Transfer of your Personal Data
The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA, India and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of Regulation 2016/679/EU (the "General Data Protection Regulation" or "GDPR"), including to countries which are not the subject of an adequacy decision by the EU Commission. Such countries may not have the same data protection laws as your jurisdiction. The Fund has authorised the Administrator as its delegate to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator by emailing Harringtoncooper_ta_queries@ntrs.com for copies of the Standard Contractual Clauses that have been entered into on behalf of the Fund. The Fund has authorised the Administrator and the Depositary to transfer Personal Data to their affiliates.

Retention period
The Fund and the Administrator will retain your personal information for as long as for as long as necessary or permitted in light of the purpose(s) for which it was obtained. The criteria used to determine the retention periods include:

- the length of the Fund's relationship with you;
- whether there is a legal obligation to which the Fund is subject (such as retaining personal data obtained for the performance of AML and related checks, which will be kept for 5 years after termination of the relationship); and
- whether retention is advisable in light of the Fund's legal position (such as with respect to statutes of limitations, litigation or regulatory investigations), in which case the personal data may be kept for up to 7 years.

Data Subject Rights
You have the following rights, in certain circumstances, in relation to your personal information. . In particular these rights include the right to object to processing of your personal data where that processing is carried out for the Fund's legitimate interests. Note that in certain circumstances these rights might not be absolute.

Right	Further Information
Right of Access	You have the right to request a copy of the personal data held by the Fund about you and to access the information which the Fund holds about you free of charge. The Fund may charge you for making any additional access requests where it feels your request is unjustified or excessive.
Right to Object	You have a right to object at any time to the processing of your personal data where the Fund processes your personal data on the legal basis of pursuing the Fund's legitimate interests.
Right to Rectification	You have the right to have any inaccurate personal data which the Fund holds about you updated or corrected.
Right to Erasure	In certain circumstances, you may also have your personal information deleted, for example if you exercise your right to object (see above) and the Fund does not have an overriding reason to process your personal data or if the Fund no longer requires your personal data for the purposes as set out in this notice.
Right to Restriction of Processing	You have the right to ask the Fund to restrict processing your personal data in certain cases, including if you believe that the personal data the Fund holds about you is inaccurate or the Fund's use of your information is unlawful. If you validly exercise this right, the Fund will store your personal data and will not carry out any other processing until the issue is resolved.
Right to Data Portability	You may request the Fund to provide you with your personal data which you have given the Fund in a structured, commonly used and machine-readable format and you may request the Fund to transmit your personal data directly to another data controller where this is technically feasible. This right only arises where: (1) the Fund processes your personal data with your consent or where it is necessary to perform the Fund's contract with you; and (2) the processing is carried out by automated means.

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information May prevent your application for any future dealing of shares in the Fund and will result in your investor account being frozen such that no dividend or redemption proceeds will be paid to you.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the General Data Protection Regulation.

How to contact us

If you have any questions about our use of your personal information or would like to submit a request with respect to your rights above, please contact us at dataprotection@mjhudson.com.

Appendix 6 – Investor AML Due Diligence Documentation Requirements

Outlined below is guidance on the documentation which the Fund/ Manager& Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk. **AML documents must be provided in advance before an account can be opened.**

The Fund/ Manager & Northern Trust (as Administrator) hereby reserves the right to request such further information and/or documentation from investors as is necessary from time to time to satisfy Irish regulatory requirements.

Examples of Photographic Identity Documentation (for verification purposes)

- Current passport.
- Current driving licence.
- Current national identity card.
- Identity document with photographic identity issued by a government department.

Examples of Proof of Address (for verification purposes)

- Bank statements/credit card statements.
- Utility bill.
- Mobile phone bill (see Note 3 below).
- Household/motor insurance certificate and renewal notices.
- Correspondence from local authorities.
- Correspondence from the revenue commissioners or equivalent.
- Correspondence from any government body.
- Driving licence which confirms the address provided it has not also been used to satisfy the photographic identity requirement above.
- Payslip or salary advice dated within the previous 6 months.
- Confirmation of address from a lawyer or financial institution.

Note 1: All documentation must reflect the current residential address and must be dated within the previous 6 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 6 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).

Note 2: In the case of an elderly individual investor residing in a residential home, then written confirmation from the residential home, (identified as being in existence), that the individual is residing there will be deemed sufficient.

Note 3: A mobile phone bill can only be accepted as a second Proof of Address.

Note 4: The photograph on the proof of identity should be clear

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English Translations

Where due diligence documents are provided in a foreign language, the NTIFASIL Investor AML will seek a relevant extract translated by an independent source confirming also the adequacy of the foreign language documents.

Letter of Assurance

Please contact Northern Trust for a Section 40/ Reliance template letter of assurance if required.

For Unregulated Nominees (of a regulated parent) or Regulated Financial Intermediary investors, please see templates below (appendix 6.1).

Note: Investors are required to notify the Fund/ Manager & Northern Trust of any changes to the AML information which was previously provided (e.g. changes in directors/controllers or beneficial owners).

Country Risk Ratings

NTIFASIL applies enhanced due diligence to investors located in a country identified as a high risk third country by the EU.

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Regulated Credit or Financial Institution

Where the applicant is a Regulated Credit or Financial Institution in one of the above referenced Equivalent Jurisdictions, please provide the following:

1. Proof of regulation.
2. A letter of assurance from the Regulated Credit or Financial Institution.
3. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity must be identified (along with address, date of birth and nationality).
4. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Where the applicant is a Regulated Credit or Financial Institution but is not regulated in an Equivalent Jurisdiction, please provide the following:

1. Full name of the company
2. Registered number of the company
3. Registered office address & principal business address of the company,
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
6. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
7. Evidence of UBO registration on the Beneficial Ownership Register (EU investors only)

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

8. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors; and (as applicable) identify and verify any beneficial owner entitled to 25% or more of the investment.

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

9. Verification of identity of the company from:
    - Extract from the relevant company registry providing details of the company; or
    - Copy of the Certificate of Incorporation or equivalent of the company; or
    - Copy of the Memorandum and Articles of Association or equivalent of the company; or
    - Copy of the latest audited financial statements of the company.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required

10. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.
11. Due diligence Questionnaire (incl. SOW/SOF for investor and UBO).

12. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 25% of the investment.

Nominee Company

Where the applicant is a Regulated Nominee Company from one of the above referenced Equivalent Jurisdictions, please provide the following:

1. Proof of regulation.
2. A letter of assurance from the regulated nominee company
3. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the parent entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).
4. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Where the applicant is 1) not directly regulated and 2) a wholly owned subsidiary of a regulated parent entity (in an Equivalent Jurisdiction), please provide the following:

1. Identification and verification of the financial intermediary/nominee entity, in accordance with a Fund's identification and verification requirements per legal form of that entity.
2. Identification and verification (to the extent warranted by risk) of underlying investor(s) as the beneficial owner(s) of the funds invested.
3. Authorised Signatory List
4. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors.
5. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
6. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

7. Identification and verification of the financial intermediary/nominee entity, in accordance identification and verification requirements per legal form of that entity;
8. Identification and verification of underlying investor(s)as the beneficial owner(s) of the funds investedDue Diligence Questionnaire (incl. SOW/SOF for investor and UBO).
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 25% of the investment.

Listed Company

Where the applicant is a Listed Company on a regulated market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:

1. Please provide proof of listing on a Regulated Market.
2. Entity name
3. Company registration number
4. Registered office address
5. Principle Business address

Where the applicant is <u>not</u> a Listed Company on an above referenced regulated market, please provide the following:

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered office address & principal business address of the company.
5. Details of directors include name, address and date of birth.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more.
7. Identify and verify senior managing official(s).
8. Receive confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors.
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
10. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only)

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

11. In addition to proof of listing on a stock market obtain one of the following:
    - Search company registry providing details of the company;
    - Copy of the Certificate of Incorporation or equivalent of the company; or
    - Copy of the Memorandum and Articles of Association or equivalent of the company; or
    - Copy of the latest audited financial statements of the company.

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

12. Proof of listing of the company.
13. Full name of the company.
14. Registered number of the company.
15. Registered office and principal business address of the company.
16. Certificate of Incorporation or Equivalent.
17. Copy of Memorandum and Articles of Association.
18. Latest audited financial statement.
19. Details of directors of the company: Name, address, date of birth.
20. Identify and verify two directors.
21. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.
22. Due diligence Questionnaire (incl. SOW/SOF for investor and UBO).
23. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 25% of the investment.

<u>Subsidiary of a Listed Company</u>

Where the applicant is a Subsidiary of a Listed Company on a regulated market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:

1. Proof of listing of the parent company
2. Legal name of the entity
3. Evidence of ownership by the listed company.
4. Identify the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (along with address, date of birth and nationality).
5. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Where the parent company is <u>not</u> a Listed Company on an above referenced regulated market, please provide the following:

1. Legal name of the entity
2. Registered number of the subsidiary company.
3. Registered office address & principal business address of the subsidiary company.
4. Proof of listing of the parent company
5. Independent evidence of ownership by the company listed on a stock market.
6. Name, address and date of birth for all directors of the subsidiary company..
7. Verify two directors.
8. Identify and verify any beneficial owner beneficially entitled to 25% or more.(directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
10. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only)

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

11. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.

Note: Where the beneficial owner of the investment or the subsidiary company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

12. Verification of identity of the company from:
    - Extract from the relevant company registry providing details of the company; or
    - Copy of the Certificate of Incorporation or equivalent of the company; or
    - Copy of the Memorandum and Articles of Association or equivalent of the company; or
    - Copy of the latest audited financial statements of the company.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

13. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.
14. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

15. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 25% of the investment.

<u>Government / Public Body</u>

Where the applicant is a Government/ Public Body in Ireland, please provide the following:

1. Please provide appropriate background information sourced from a reliable source (e.g. copy of the legal instrument establishing the government body/public authority and listing the names of key officials).
2. Entity legal name
3. Nature and status of entity
4. Registered office address of the entity
5. Name of the home state authority and nature of its relationship with public body.
6. Ownership/Gov. Dept. accountable for the entity.
7. Name of main public body officials/directors (or equivalent)

Where the applicant is <u>not</u> a Government Body or Public Authority in Ireland, please provide the following:

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered office address.
4. Name of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority and where the country is deemed medium risk by Northern Trust verify the identity of two officials or, where applicable, one official and one authorised signatory.
7. Appropriate background information on the government body or public authority.
8. Ownership/Gov. Dept. accountable for the entity.
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

10. Identify and verify the identity of at least two directors or, where applicable, one director and one authorised signatory and evidence of authorisation to act on the customer's behalf.
11. Certified copy of the audited financial statements of the government body or public authority.
12. Due Diligence Questionnaire (incl. SOW/SOF for investor).

<u>Pension Scheme</u>

Where the applicant is an Employee/Superannuation or similar scheme in an Equivalent Jurisdictions, please provide the following confirmations

1. Confirmation that the Employee/Superannuation (or similar scheme) provides for retirement benefits to employees.
2. Confirmation that contributions of the Employee/Superannuation scheme are made by deduction from wages.
3. Confirmation that the rules of the Employee/ Superannuation scheme do not permit a member's interest under the scheme to be re-assigned.

Note: The above can be confirmed through constitutional documentation of the scheme or through receipt of written confirmation from the trustees of the scheme.
Alternatively,

- Listed by EIOPA or equivalent - HMRC Cert obtained from the investor satisfies this requirement for UK based pensions

-OR-

- Obtain Trust Deed or equivalent which confirms that the entity is a pension or similar scheme which provide retirement benefits to employees
- Identify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.
- Where there is no beneficial owner entitled to 25% or more the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified.

Where the applicant is not an Employee/ Superannuation or similar scheme in an Equivalent Jurisdictions, please provide the following:

1. Full name of the pension scheme.
2. Registered office address of the pension scheme
3. Registered office address of the pension scheme
4. Confirmation of listing by EIOPA or equivalent HMRC Cert obtained from the investor satisfies this requirement for UK based pensions.
5. Identify controllers/trustees/ directors/
6. Verify two trustees/directors/controllers
7. Constitutional/Formation Document (e.g. Trust Deed)
8. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

10. Identify and verify the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); or
11. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.
12. Identify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.
13. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

<u>Collective Investment Scheme</u>

Where the applicant is a Collective Investment Scheme ('CIS') regulated as a designated person or listed on a regulated financial market in an Equivalent Jurisdictions, please provide the following:

1. Please provide proof of regulation/ listing.
2. Full name of the CIS.
3. Registered address of the CIS.
4. Prospectus or equivalent.
5. Name and address of scheme promoter.
6. Name and address of scheme administrator.
7. Name and address of entity carrying out anti-money laundering checks upon the scheme investors and evidence that the entity is regulated for AML purposes.
8. Identify any investors (beneficial owners) who own 25% or more (directly or indirectly) of the share capital.
9. Identify SMOs
10. Beneficial Owner Form
11. AML Comfort letter from the entity carrying out AML checks whom NTIFASIL is entitled to place reliance on
12. Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only).

Where the CIS is not either listed on a regulated financial market (as above) or regulated as a designated person in an Equivalent Jurisdictions, please provide the following:

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent.
4. Name and address of the scheme promoter.
5. Name and address of the scheme administrator.
6. Name and address of the entity carrying out due diligence on the investors in the CIS and evidence that this entity is regulated for AML purposes.
7. Identify and verify any investors (beneficial owners) in the CIS who own 25% or more (directly or indirectly) of the share capital. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified
8. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice
9. AML Comfort letter from the entity carrying out AML checks whom NTIFASIL is entitled to place reliance on
10. If applicable, evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

11. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)
12. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; or
13.
14. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.
15. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified.

Individuals (including Joint Account Holders)

Where the applicant is an Individual, please provide the following documentation:

1. Photographic identity document.
2. Proof of address.
3. Source of wealth and source of funds. In general e-mail confirmation or completion of the relevant section of the app will suffice.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

4. Due Diligence Questionnaire (incl. Source Wealth and Source of Funds . Documentary evidence may be required for high risk investors.

In the case of joints account holders, please provide documents in respect of all holders.

Private and Unlisted Company

Where the applicant is a Private Company/ Company not listed on a regulated financial market, please provide the following:

1. Full name of the company.
2. Registered number of the company.
3. Registered office address & principal business address of the company.
4. Verification of identity of the company from:
   - Extract from relevant company registry or
   - Certificate of incorporation or
   - Copy of Mem & Arts or
   - Copy of latest audited financial statement

5. Details of the directors including name, address and date of birth.
6. Verify the identity of at least two directors or, where applicable, one director and one authorised signatory (i.e. for each, one copy of a photographic identity document and one copy Proof of Address) .
7. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified.
8. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
9. Confirmation of source of wealth and source of funds. In general email confirmation or completion of the relevant section of the application form will suffice

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

10. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified.
11. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

Limited Liability Company

Where the applicant is a Limited Liability Company (LLC), please provide the following:

1. Full name of the LLC.
2. Registered office address & principal business address of the LLC.
3. Constitutional document (e.g. certificate of formation) or Operating agreement.
4. Identify all managing members (name, date of birth and address)
5. Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.

6. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified.
7. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
8. Confirmation of source of wealth and source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).

Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ managing members(s) of the entity must be identified and verified.
10. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)

Partnership

Where the applicant is a Partnership, please provide the following:

1. Full name of the partnership.
2. Registered office address & principal business address of the partnership.
3. Identify all partners (names, address and date of birth) (where practicable) .
4. Verify the identity of all partners who own 25% or more (directly or indirectly) of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund. Where there is no partner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
5. Verify the identity of the general partner and a second partner (or in the absence of same an authorised signatory).
6. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
7. If applicable. evidence of UBO Registration on the Beneficial ownership Register (EU investors only).

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

Where the applicant is not a Partnership Fund or located in one of the high risk jurisdictions, the following is also required:

8. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO).
9. Identify and verify the identity of any partner who own more than 25% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the partnership. Where there is no partner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/partner(s) must be identified and verified.

Trust

Where the applicants are Regulated Trustees investing on behalf of a Trust or similar entity, please provide the following (only applicable for Trustees not located in a high risk jurisdiction):

1. Full name of trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.
5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor.
8. Identify and verify the protector.
9. Identify all beneficiaries or the class of beneficiary beneficially entitled to trust's assets or the beneficial interest (Note: Verification of the beneficiaries may be required by the administrator to the extent warranted by the risk). Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
10. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
11. Confirmation of source of wealth and source of funds. In general email confirmation or completion of the relevant section of the application form will suffice

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

Where the applicants are not Regulated Trustees investing on behalf of a Trust, or where the applicant is domiciled in a high risk jurisdiction, the following is also required:

12. Identify all beneficiaries or identify the class of beneficiaries.
13. Verify the identity of the beneficiaries beneficially entitled to trust's assets or beneficial interest, where practicable.
14. Confirmation as to how the settlor was in a position to make the investment.
15. Due Diligence Questionnaire (incl. SOW/SOF for investor and settlor)
16. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

Foundation

Where the foundation is a registered charity please refer to charity requirements.

Where the applicant is evidenced to be a local or community based foundation in another deemed low or medium risk country please provide the following:

1. Full name of the foundation.
2. Registered address of the foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents equivalent **OR** confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder, and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable.
7. Identify and verify any beneficiary beneficially entitled to 25% or more of the foundation's assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity should be identified.

8. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
9. If applicable. evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

Where the applicants are domiciled in a high risk jurisdiction, the following is also required:

10. Confirmation of the funding of the foundation.
11. Verify the identity of two trustees authorised to operation on behalf of the foundation or, where applicable, one officer and one authorised signatory.
12. Where there are a large number of trustees, consideration will be given as to whether more than two trustees need to be verified (e.g. where additional risk factors have been identified)
13. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)
14. Identify and verify the identity of the beneficiaries who hold more than 25% of the beneficial interest. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity should be identified and verified.

Charity

Where the applicant is a registered Charity, please provide the following:

1. Full name of the charity.
2. Nature/purpose of the charity
3. Nature and source of funding of the charity
4. Registered office address & principal business address of the charity.
5. Constitutional / Formation document (e.g. bye-laws or other governing document)
6. Names, address and date of birth of all trustees/directors (or equivalent) of the charity.
7. Identify and verify the identity of the company secretary or equivalent or, where applicable, verify the identity of one of the trustees.
8. (If a charitable trust), details of the settlor of the charitable trust.
9. Identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
10. If applicable, evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
11. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
12. Complete a check of relevant charities register or confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/ HMRC/Guidestar).

Where the applicant is not a registered Charity or where the applicant is domiciled in a high risk jurisdiction, the following is also required:

13. Certified copies of the audited financial statements.
14. Certified constitutional/ formation document of the charity.
15. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO (if applicable), and jurisdictions funds are received from and paid to where not already evident).
16. Identify and verify the identity of the beneficiaries (where ascertainable) of the charity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified and verified.
17. Identify and verify the settlor, where applicable.

18. Verify the identity of two trustees authorised to operation on behalf of the charity or, where applicable, one officer and one authorised signatory. Where there are a large number of trustees, consideration will be given as to whether more than two trustees need to be verified (e.g. where additional risk factors have been identified).

Club or Society

Where the applicant is a Club or Society, please provide the following:

1. Full name of the club/society.
2. Registered office address & principal business address of the club/society.
3. Confirmation of the legal status of the Club/Society.
4. Nature/Purpose including the nature of funding of the club/society.
5. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or confirmation of a relevant club/ society register.
6. List of officers of the club/society including name, date of birth and address.
7. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.
8. Identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.
10. If applicable, evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

11. Certified copies of audited financial statements for the Club/Society.
12. Constitutional/ formation document of the club/society
13. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO)
14. Identify and verify the identity of all persons who own or control over 25% of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.
15. Confirmation of the funding of the club or society.
16. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory. Where there are a large number of officers, consideration will be given as to whether more than two officers need to be verified (e.g. where additional risk factors have been identified.

School, College or University

Where the applicant is a School, College or University, please provide the following:

1. Full name of the School, College or University.
2. Registered office address & principal business address of the School, College or University.
3. Verify the identity of the school etc. by checking a relevant School, College or University register or appropriate background information.
4. Identify main officials of the school including name, date of birth and address.
5. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.

6. Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
7. If applicable, evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
8. Identify and verify the settlor, where applicable.
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

10. Identify and verify the identity of all persons who own or control over 25% of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.
11. Identify and verify the identity of all persons who own or control 25% or more of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.
12. Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO/Settlor)

Church

Where the applicant is a Church, please provide the following:

1. Full name of the Church.
2. Registered office address & principal business address of the church.
3. Confirmation of the nature/purpose of the Church with details of how the Church is funded.
4. Complete a check of a relevant church register or a copy of the revenue approval for the church;
5. Names, address and date of birth of all trustees/directors/governors/board member of the church.
6. Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. Names or classes of persons who stand to benefit from the objects of the church (where ascertainable) ; or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified.
8. Identify and verify the settlor where applicable.
9. If applicable, evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).

Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:

10. Certified copies of audited financial statements for the church.
11. Certified constitutional/formation document of the church.
12. Due Diligence Questionnaire (incl. SOW/SOF for investor and settlor if applicable).
13. Identify and verify the beneficiaries (where ascertainable) of the church. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified and verified.
14. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory. Where there are a large number of trustees consideration will be given as to whether more than two trustees needs to be verified (e.g. where additional risk factors have been identified).

Trade Union

Where the applicant is a Trade Union, please provide the following:

1. Full name of the Trade Union.
2. Registered address of the trade union.
3. Establish whether the trade union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. Names or classes of persons who stand to benefit from the Trade Union: or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified.
5. Evidence of UBO Registration on the Beneficial Ownership Register (EU investors only).
6. Consider the legal form of the trade union, its stated purpose, aims and objectives using information from documents supplied for the trade union and through internet searches.
7. Deed or equivalent establishing the existence of the trade union (for example its constitution, bye-laws, rules).
8. Identify all persons and their functions who are empowered to make the investment on behalf of the trade union (president, secretary, treasurer and other senior committee members).
9. Confirmation of source of wealth & source of funds. In general email confirmation or completion of the relevant section of the application form will suffice.

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

10. Identify and verify the identity of at least two senior committee members of the trade union Where there are a large number of officials, consideration will be given as to whether more than two officials need to be verified (e.g. where additional risk factors have been identified).
11. Due Diligence Questionnaire (incl. SOW/SOF for investor)
12. Identify and verify the identity of all persons who own or control over 25% of the entity's share capital, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s) of the entity must be identified and verified.

Appendix 6.1 – Letters of Assurance Requirements (provision in advance)- Unregulated Nominees and Regulated Credit or Financial Institution

Unregulated Nominee Letter of Assurance

[On Letterhead of the Regulated Parent Company]

[Date]

Northern Trust International Fund Administration
Services (Ireland) Limited
Georges Court
54-62 Townsend Street
Dublin 2
Ireland

Re: ***[Insert Name of Unregulated Nominee/ Intermediary Company]*** **('the Nominee Company')-** Verification of Investor(s) Identity in accordance with applicable Anti Money Laundering and Counter Terrorist Financing ("AML/CFT") Laws and Regulations[9]

[9] Please complete the Declaration of Beneficial Ownership below.

Dear Sir/ Madam,

We confirm that, ***[insert name of Regulated Parent Company] (the "Parent Company")*** with a registered office located at _____ ***[insert address]*** is licensed as _____ ***(insert description)*** by the _____ ***[insert regulatory body]*** and that we are supervised and monitored for compliance with AML/CFT regulatory requirements in _____ ***[insert country]***. Our registration or licence number is _____ **[insert registration or licence number]**.

We confirm that the ***Nominee Company*** is a wholly owned subsidiary of ***the Regulated Parent Company.***

We are satisfied for Northern Trust International Fund Administration Services (Ireland) Limited (as administrator to funds) to rely on this confirmation for all designations where the above referenced Nominee Company has holdings.

The Regulated Parent Company make the following representations, warranties and undertakings in respect to both the Nominee Company and the Parent 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_____ (***insert relevant law/regulation here)***;
ii. our AML/CFT policies, procedures and internal controls incorporate systems and controls to identify and verify our customers and beneficial owners[10], to identify source of funds, 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 (collectively 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 in the Funds, we 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) (to the extent warranted by risk of money laundering and the financing of terrorism), 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), their beneficial owners which could lead us to suspect 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, obtained as part of customer identification and verification process for at least 5 years after the termination of their relationship with us;
viii. we will provide the Fund and/or Northern Trust 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 are subject to sanctions lists administered by the European Union, the United States (including OFAC) and the United Nations, and we undertake to notify you immediately upon our identification of same should we become aware of such circumstances;
x. we will notify the Fund and/or Northern Trust, on request, of its identification of PEPs.

We further undertake to advise you, should at any time in the future, there be any change in information provided above.

[10] Beneficial owner includes the natural person(s) who ultimately owns or controls a customer and/or the natural person(s) on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over a legal person or arrangement.

I confirm that I have sufficient knowledge of and responsibility for AML procedures and have the appropriate authority to provide the assurances given in this letter.

Yours faithfully,

[Capacity of signatory – Money Laundering Reporting Officer / Head of Compliance / Head of Risk / Director / Other]
For and on behalf of
[Regulated Entity]

Regulated Credit or Financial Institution Letter of Assurance (as Investor)
[On Letterhead of the Regulated Financial Intermediary]

[Date]

Northern Trust International Fund Administration
Services (Ireland) Limited
Georges Court
54-62 Townsend Street
Dublin 2
Ireland

Re: ***[Insert Name of Regulated Financial Intermediary Company]-*** Verification of Identity in accordance with applicable Anti Money Laundering and Counter Terrorist Financing ("AML/CFT") Laws and Regulations[11]

Dear Sir/ Madam,

We confirm that, ***[insert name of Regulated Financial Intermediary]*** with a registered office located at ***[insert address]*** is licensed as _____ ***(insert description)*** by the _____ ***[insert regulatory body]*** and that we are supervised and monitored for compliance with AML/CFT regulatory requirements in _____ ***[insert country]***. Our registration or licence number is _____ ***[insert registration or licence number]***.

We are satisfied for Northern Trust International Fund Administration Services (Ireland) Limited (as administrator to funds) to rely on this confirmation for all designations.

We hereby confirm the following in connection with all investors ("Investors") and their beneficial owners in all designations:

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 _____ (***insert relevant law/regulation here***);
ii. our AML/CFT policies, procedures and internal controls incorporate systems and controls to identify and verify our customers and beneficial owners[12], to identify source of funds, 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 (collectively 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 each investor who has invested via the financial intermediary in the Funds, we hereby confirm;

iv. the accounts will only be operated by the financial intermediary whom maintain ultimate, effective control over the account;
v. we have performed customer due diligence and identified and verified the beneficial owner(s) (to the extent warranted by risk of money laundering and the financing of terrorism), 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), their beneficial owners which could lead us to suspect 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, obtained as part of customer identification and verification process for at least 5 years after the termination of their relationship with us;

[11] Please complete the Declaration of Beneficial Ownership below.
[12] Beneficial owner includes the natural person(s) who ultimately owns or controls a customer and/or the natural person(s) on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over a legal person or arrangement.

viii. we will provide the Fund and/or Northern Trust 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 are subject to sanctions lists administered by the European Union, the United States (including OFAC) and the United Nations, and we undertake to notify you immediately upon our identification of same should we become aware of such circumstances;

x. we will notify the Fund and/or Northern Trust, on request, of its identification of PEPs.

We further undertake to advise you, should at any time in the future there be any change in any information provided above.

I confirm that I have sufficient knowledge of and responsibility for AML procedures and have the appropriate authority to provide the assurances given in this letter.

Yours faithfully,

[Capacity of signatory – Money Laundering Reporting Officer / Head of Compliance / Head of Risk / Director / Other]
For and on behalf of
[Regulated Entity]

Beneficial Owner(s) Declaration

Please tick one of the below boxes and complete the relevant section:

☐ We confirm there is a natural person(s) who is a beneficial owner of the investor (Please complete section 1 below of this declaration).

☐ We confirm there is no natural person(s) who is a beneficial owner of the investor (Please complete section 2 of this declaration).

Section 1: Natural person(s) who is a beneficial owner of the investor

Beneficial Owner 1 (please complete in block capitals):

Full Name:	Identification Number:	Occupation:
Date of Birth (DD-MM-YYYY) :	Place of Birth:	Nationality:
Shareholding %:		
Registered Address (PO Box or Care of will not be accepted):		
City, Town, State, Province or County	Postal/ZIP Code:	Country:

Beneficial Owner 2 (please complete in block capitals):

Full Name:	Identification Number:	Occupation:
Date of Birth (DD-MM-YYYY) :	Place of Birth:	Nationality:
Shareholding %:		
Registered Address (PO Box or Care of will not be accepted):		
City, Town, State, Province or County	Postal/ZIP Code:	Country:

Beneficial Owner 3 (please complete in block capitals):

Full Name:	Identification Number:	Occupation:
Date of Birth (DD-MM-YYYY) :	Place of Birth:	Nationality:
Shareholding %:		
Registered Address (PO Box or Care of will not be accepted):		
City, Town, State, Province or County	Postal/ZIP Code:	Country:

Beneficial Owner 4 (please complete in block capitals):

Full Name:	Identification Number:	Occupation:
Date of Birth (DD-MM-YYYY) :	Place of Birth:	Nationality:
Shareholding %:		
Registered Address (PO Box or Care of will not be accepted):		
City, Town, State, Province or County	Postal/ZIP Code:	Country:

Section 2: No natural person(s) who is a beneficial owner of the investor.

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing Nominee entity will be recorded as the Beneficial Owner (not any underlying customer of the entity / designation).

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior manager(s) who should be recorded as the Beneficial Owner(s).

Senior managing official details (please complete in block capitals):

Full Name		
Date of Birth (DD-MM-YYYY) :	Place of Birth:	Nationality:
Registered Address (PO Box or Care of will not be accepted):	Title:	
City, Town, State, Province or County:	Postal/ZIP Code:	Country:

If needed, please add additional senior managing officials on a separate sheet

Yours faithfully,

[Capacity of signatory – Money Laundering Reporting Officer / Head of Compliance / Head of Risk / Director / Other]
For and on behalf of
[Regulated Entity]

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[1] **Beneficial Owner:** A Beneficial Owner is any individual who ultimately owns or controls an investor or on whose behalf a transaction is conducted.

A. Beneficial Owner, in relation to a body corporate which is not a company whose securities are listed on a Regulated Market (markets in financial instruments and located within the European Economic Area, or that subjects companies, whose securities are admitted to trading, to disclosure requirements consistent with EU legislation), is any individual who ultimately owns or controls, whether through direct or indirect ownership or control (including through Bearer Shareholdings), 25% or more of the shares or voting rights of the body corporate or through control via other means.

   Beneficial owner, in relation to a body corporate::
   (i) A shareholding of 25% or more or an ownership interest of 25% or more in the customer held by a natural person shall be an indication of direct ownership. (ii) A shareholding of 25% or more or an ownership interest of 25% or more in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership. (iii) Where there is no person identified as beneficial owner, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s)/ director(s) of the investor, will be deemed the beneficial owners.

B. Beneficial Owner, in relation to a partnership (other than a limited liability partnership), means any individual who:
   (i) ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, 25% or more of the share of the capital or profits of the partnership or 25% or more of the voting rights in the partnership; or (ii) controls the partnership.

C. Beneficial Owner, in relation to a trust, means all of the following:
   (i) the settlor; (ii) the trustees; (iii) any individual who is determined as being entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property (a beneficiary); (iv) in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in the paragraph relating to body corporates above, (v) the class of individuals in whose main interest the trust is set up or operates; or any individual (including the settlor, protector or trustees) who has control over the trust.

D. Beneficial Owner, in relation to a foundation or other legal arrangement similar to a trust, means those individuals who hold equivalent or similar positions to those set out above.

Appendix 7 – Terms and Conditions of Service for instruction issued to the Administrator via email

Introduction

If you (hereinafter referred to as the "Investor") wish to send Northern Trust International Fund Administration Services (Ireland) Limited, (the "Administrator"), instructions in respect of the Shares of **Fund** (the "Fund") in portable document format ("PDF") or commonly used equivalent scanned form which is transmitted to the Administrator via email, then the terms as set out below will apply to the Investor's account.

IT IS IMPORTANT THAT THE INVESTOR READS THESE TERMS AND CONDITIONS OF SERVICE CAREFULLY.

By completing the appropriate documentation (e.g. original subscription forms, additional subscription forms, transfer/switch requests or redemption forms) and instructing the Administrator in respect of the Shares of the Fund via email, the Investor will have accepted the following Terms and Conditions of Service.

A. Procedure for PDF Instructions

1. The email address to submit PDF instructions **HarringtonCooperTAInstructions@ntrs.com** **This address is to be solely used for sending PDF instructions via email in respect of the shares in the Fund**.
2. The Investor shall ensure that the PDF instruction is signed by properly authorised persons, scanned and attached to a **blank email** which is addressed to **HarringtonCooperTAInstructions@ntrs.com**
3. Please ensure that the Investor blank e-mail does not contain any text or non-text items including but not limited to logos.
4. Each blank e-mail sent to the email address specified above may only include **one** PDF file attachment. However, the single PDF file attachment may contain multiple instructions in relation to Shares in more than one Sub-Fund. A blank e-mail with multiple PDF attachments will be rejected by the Administrator.
5. PDF instructions received without the scanned PDF form attached will not be accepted.
6. Upon receipt of an email with the scanned PDF instruction, the Administrator will send the Investor a task number by auto-response.
    a. The task number acknowledges receipt of the Investor's instruction.
    b. The task number is not confirmation of placement of the instruction.
    c. The Administrator must be in receipt of the instruction prior to the relevant dealing deadline as set out in the Fund's Prospectus. The Administrator will not be responsible for any delays in receipt.
    d. If the Investor does not receive a task number by auto response, it is the Investor's responsibility to contact the Administrator by telephone (details confirmed within the application form) to confirm that the Administrator has received the Investor's instruction.

7.If the Investor sends the Administrator a PDF dealing instruction in respect of the shares in the Fund to a mailbox other than specified above, the Administrator will reject the instruction and/or the deal will not be placed. Notification of rejection may not be given prior to the dealing cut off.

8.In cases where the Investor has supplied the Administrator with a "group" email address, the Administrator will have fully discharged its responsibilities where it has sent any communication to this "group" address.

9.The Investor should not send a duplicate instruction by alternative means to the Administrator as this could lead to a duplicate e.g deals being placed in error.

10.The Investor is not obliged to instruct in this manner.

B. General Terms and Conditions of Service :

1. Email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions

or documents and the Investor will bear the risks if the Investor wishes to conduct the Investor's dealings using email.

2. The Administrator is authorised and instructed to accept and execute any instructions in respect of shares in the Fund given by the Investor in PDF form or by email. The Administrator will rely conclusively upon, and neither the Fund nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine.
3. Neither the Fund nor the Administrator will be responsible or liable for the authenticity of instructions received from the Investor or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.
4. Neither the Fund nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by the Investor in PDF form or by email, including without limitation, the Investor's use of an incorrect email address, failure of the Investor's transmission, interception, alteration or corruption of the Investor's email transmission, non-receipt of the Investor's electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Fund nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.