

# UK EQUITY FUND SUBSCRIPTION FORM

Liontrust Global Fundamental Plc, an umbrella fund with segregated liability between sub-funds (the "Company"). Liontrust Global Fundamental Plc UK Equity Fund (the "Fund").

## Important

Please complete, where relevant, ALL sections of this Subscription Form either electronically or by hand in BLOCK CAPITALS and black ink. Please note that all signature sections will need to be signed by hand. Return completed forms to your authorised financial advisor, or to:

Liontrust Global Fundamental Plc  
C/O Transfer Agency BNY Mellon,  
Wexford Business Park,  
Rochestown, Drinagh, Wexford, Ireland.

Telephone: + 353 21 438 0915  
Fax: + 353 21 438 0930  
Email: [liontrustglobalfundamental@bnymellon.com](mailto:liontrustglobalfundamental@bnymellon.com)

Completed Subscription Forms and appropriate client identification documentation is disclosed further in this Subscription Form should be faxed (if possible) to +353 1 790 4097 by 12:00 noon (Irish time) on the relevant Dealing Day with the originals, where required, to follow promptly by mail. The Fund's valuation point is 12:00 noon.

## 1 DECLARATIONS

Please delete as applicable.

I / We have completed the relevant tax-residency FACTA/CRS Self-Certification Form in Appendix II. ☐

I / We have completed the Non-resident declaration in Appendix I\*. ☐

I / We have completed Resident Entities composite declaration in Appendix I\*\*. ☐

I / We hereby confirm that I / We have received and read the Key Investor Information Document (KIDD) applicable to the Fund and/or relevant Share Class(es) in good time and before making an application to invest. ☐

I / We understand that the Prospectus and KIIDs may be provided by the following mediums and consent to the provision of that information (now and/or in the future) by way of either one of (check one only):

- **Electronic Delivery:** includes email delivery to the email address under the Registration Details section of this Subscription Form or as otherwise agreed with the Administrator. ☐
- **Website:** [www.liontrust.co.uk](http://www.liontrust.co.uk) ☐
- **Paper copy:** free of charge on request. ☐

I / We acknowledge that I/we have received and read the Data Protection Notice set out in Appendix III hereto: ☐

I / We acknowledge that I/we have received and read the Data Protection Notice set out in Appendix III hereto: ☐

Please note that Subscription Forms without the declarations completed will be rejected. By signing the signature at the end of this Subscription Form (before the Appendices), you can confirm the above.

\* The non-resident declaration should only be completed where the relevant person is not resident or ordinarily resident in Ireland for tax purposes.

\*\* The Resident Entities declaration should only be completed where the relevant person is not an Irish taxable person pursuant to section 739D(6) of the Taxes Consolidation Act 1997.

We the undersigned, having received and read a copy of the latest Prospectus of the Company and the Supplement of the Fund (together the Prospectus), hereby apply to invest in the Company as indicated below (delete as appropriate):

SHARE CLASS	AMOUNT	AMOUNT IN WORDS
Class A Shares Accum.	GBP	
Class Z Shares Income	GBP	
Class Z Shares Accum.	GBP	
Class Z Shares Accum.	EUR	

## 2 SUBSCRIPTION BANK DETAILS

### GBP CASH ACCOUNT

Correspondent Bank:	The Bank of New York, London
Correspondent Swift:	IRVTGB2X
Correspondent Sort Code:	70-02-25
Beneficiary Bank:	The Bank of New York, Brussels
Beneficiary SWIFT:	IRVTBEBB
Beneficiary Account Number:	4463568260
Beneficiary Account IBAN:	BE09515446356057
Beneficiary Account Name:	Liontrust AMI Subs and Reds Account

### EUR CASH ACCOUNT

Beneficiary Bank BIC Code:	IRVTBEBB
Beneficiary Bank Name:	The Bank of New York Mellon SA/NV, Brussels
Beneficiary Account Name:	LIONTRUST AMI INV FD CO PLC SUBS REDS
Beneficiary Account Number:	4463568400
Beneficiary IBAN Number:	BE09515446356057

## 3 SOURCE OF FUNDS, RETURN PAYMENTS AND INCOME DISTRIBUTIONS

Please provide below full banking details for the account from which the appropriate subscription settlement is to be received. Settlement can only be accepted by telegraphic transfer from an account in the Applicant's own name, and a detailed written explanation is required for approval if this is not the case. These account details will be maintained on file as the redemption account of record, and future payments back to the Applicant(s) will be returned to this account unless a written request for change has been received and approved. Interest is not earned on early subscription settlement. **The Directors reserve the right to charge interest at a reasonable commercial rate on subscriptions which are settled late.**

INTERMEDIARY BANK NAME

SWIFT / ABA

BENEFICIARY BANK NAME

SWIFT / ABA

STREET ADDRESS

CITY

TOWN / STATE / PROVINCE

POSTCODE

COUNTRY

BENEFICIARY ACCOUNT NAME

BENEFICIARY ACCOUNT NUMBER

IBAN NUMBER

FOR FURTHER CREDIT ACCOUNT NAME

FOR FURTHER CREDIT ACCOUNT NAME

CURRENCY\*

REFERENCE

\*Payment will be made in the base currency of the share class

#### 4 REPRESENTATIONS / UNDERTAKINGS OF THE APPLICANT

1. The Applicant acknowledges and agrees that subscription monies received in respect of a Fund in advance of the issue of Shares will be held either in an Umbrella Cash Account in the name of the Company or, in an individual cash account in the name of a Fund. The Applicant further acknowledges and agrees that in each scenario, subscription monies will be treated as a general asset of the relevant Fund. The Applicant further acknowledges and agrees that investors will be unsecured creditors of the relevant Fund with respect to the amount subscribed and held by the Company until Shares are issued on the relevant Dealing Day and as such, investors will not benefit from any appreciation in the NAV of the relevant Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. The Applicant further acknowledges and agrees that in the event of an insolvency of the Fund or the Company, there is no guarantee that the Fund or Company will have sufficient funds to pay unsecured creditors in full.
2. The Applicant acknowledges and agree that payment of redemption proceeds and dividends in respect of a particular Fund is subject to receipt by the Administrator of original subscription documents and compliance with all anti-money laundering procedures and that notwithstanding this, redeeming Shareholders will cease to be Shareholders, with regard to the redeemed Shares, and will be unsecured creditors of the particular Fund, from the relevant Dealing Day. The Applicant further acknowledges and agrees that pending redemptions and distributions, including blocked redemptions or distributions, will, pending payment to the relevant Shareholder, be held either in an Umbrella Cash Account in the name of the Company or, in an individual cash account in the name of a Fund. The Applicant further acknowledges and agrees that in each scenario, redeeming Shareholders and Shareholders entitled to such distributions will be unsecured creditors of the relevant Fund, and will not benefit from any appreciation in the NAV of a Fund or any other Shareholder rights (including further dividend entitlement), with respect to the redemption or distribution amount held in the Umbrella Cash Account, or in an individual cash account. The Applicant further acknowledges and agrees that in the event of an insolvency of the relevant Fund or the Company, there is no guarantee that the Fund or the Company will have sufficient funds to pay unsecured creditors in full. The Applicant further acknowledges and agrees redeeming Shareholders and Shareholders entitled to distributions should ensure that any outstanding documentation and information is provided to the Administrator promptly and that failure to do so is at such Shareholder's own risk.
3. The Applicant acknowledges and agrees that Shares in the Company may not be issued until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify the identity, permanent address and source of funds of the Applicant and, where applicable, any beneficial owner. Where, at the sole discretion of the Administrator, Shares are issued prior to the Administrator having received all the information and documentation required to verify the identity, permanent address and source of funds of the Applicant and, where applicable, any beneficial owner, the Applicant will be prohibited from redeeming any Shares so issued, and the Company or the Administrator on its behalf reserves the right to refuse to make any redemption payment or distribution to the Applicant, until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify the identity, permanent address and source of funds of the Applicant and, where applicable, any beneficial owner.
4. The Applicant hereby acknowledges and agrees that the Company or the Administrator as its delegate may deliver and make reports, statements, and other communications available in electronic form, such as e-mail or by posting on a web site.
5. The Applicant acknowledges that due to money laundering requirements operating within the Republic of Ireland the Administrator may require further identification of the Applicant(s) and any beneficial owner before the application can be processed and the Administrator shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested by the Administrator and has not been provided by them.
6. The Applicant acknowledges that they will provide any information and/or documentation as the Directors, the Manager, the Investment Manager, the Distributor, the Administrator or their delegates or authorised agents deem necessary including in connection with the requirements of any authority whether regulatory or taxation or otherwise.
7. The Applicant hereby agrees to be bound by the Prospectus. Words and expressions in this Subscription Form are as defined in the Prospectus unless the context otherwise requires.
8. In consideration of the Administrator processing this Subscription Form and making a provisional allotment of Shares, the Applicant hereby agrees to indemnify and hold harmless the Company, the Manager, the Administrator, the Directors and the Investment Manager against any loss, costs or expenses incurred by it or them as a result of their failure to pay the required subscription monies for the application of Shares within the time required by the Administrator.
9. The Applicant confirms that they are 18 years of age or over (natural persons only).
10. The Applicant confirms that they are not a restricted person (details of the entities to whom the transfer of Shares is restricted are set out in the Prospectus under the heading 'Form of Shares and Transfer of Shares') and are not acquiring Shares on behalf of, nor for the benefit of, such a restricted person nor do they intend selling or transferring any Shares which they may purchase to any person who is such a restricted person.
11. The Applicant confirms that they are aware of the minimum initial investment amount of the Fund, being £10,000 for Class A GBP shares, £100,000 for Class Z GBP Shares and €120,000 for Class Z Euro Shares.
12. The Applicant warrants that: (a) they have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Company; (b) they are aware of the risks inherent in investing in the Shares and the method by which the assets of the Company are held and/or traded; and (c) they can bear the risk of loss of their entire investment.
13. The Applicant warrants that they are aware and accept that the Company has authority to redeem a portion of their investments in the Company and to pay the proceeds to the Manager and/ or Investment Manager (as applicable) as part of any annual fee or performance fee (if any) payable in accordance with the provisions of this Prospectus.

#### 4 REPRESENTATIONS / UNDERTAKINGS OF THE APPLICANT (CONTINUED)

14. The Company reserves the right to accept applications for Shares from certain qualified Applicants in the United States or a limited number of U.S. persons (as defined under applicable laws) if the Company receives evidence satisfactory to it that the sale of Shares to such an Applicant is exempt from registration under the securities laws of the United States, including, but not limited to, the 1933 Act, that such sale will not require the Company to register under the 1940 Act, and, in all events, that there will be no adverse tax or other regulatory consequences to the Company or its shareholders as a result of such sale. U.S. persons (as defined under applicable laws) should request a supplemental disclosure document and will be required to complete a set of subscription documents for U.S. persons appended thereto. Some subscribers may be taxable in the United States but will not come within the definition of U.S. persons for the purposes of determining which subscription documents should be used. Such persons are not obliged to complete the special subscription documents for U.S. persons and will not automatically receive the supplemental disclosure document.
15. The Applicant warrants that they are able to acquire and hold Shares without violating any applicable laws.
16. The Applicant, where acquiring Shares on behalf of, or for the benefit of, one or more other person, warrants that such other person or persons may acquire and hold a beneficial interest in such Shares without violating any applicable laws.
17. The Applicant hereby accepts such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.
18. The Applicant, having received and considered a copy of the Prospectus, hereby confirms that this application is based solely on the Prospectus for the Company, and any supplemental Prospectus current at the date of this Subscription Form and the material contracts therein referred together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report. The Applicant agrees that they have received in good time prior to the application for any proposed subscription of Shares any KIID(s) in issue for the relevant Share(s).
19. The Applicant understands that the Prospectus and KIID(s) may be provided by way of electronic delivery and that a paper copy will be provided free of charge on request. The Applicant understands that electronic delivery includes email delivery to the email address set out on page 10 or 11 (as applicable) of this Subscription Form or as otherwise agreed with the Administrator from time to time and/or electronically making available such documentation or information on [www.liontrust.co.uk](http://www.liontrust.co.uk) or such other web-site address as may be notified to the Applicant from time to time. The Applicant agrees that the Company has offered the choice of receipt of the Prospectus and relevant KIID(s) by way of electronic delivery or in paper format and unless the Applicant has indicated herein that they wish to receive the Prospectus and relevant KIID(s) by way of paper copy, the Applicant agrees that the Prospectus and relevant KIID(s) may be provided by way of electronic delivery and the Applicant consents to receipt thereof by way of publication on [www.liontrust.co.uk](http://www.liontrust.co.uk) or such other web-site address as may be notified to the Applicant from time to time. The Applicant acknowledges that updated versions of the Prospectus and KIID(s) will be made available on the website [www.liontrust.co.uk](http://www.liontrust.co.uk). The Applicant acknowledges that the Company is required to provide the relevant KIID(s) prior to each subsequent subscription for or exchange of Shares in the relevant class and hereby agrees that for each subsequent application for subscriptions and/or exchange of Shares in any class, the KIID will be provided to them via electronic delivery unless a paper copy is requested herein/from the Administrator.
20. The Applicant hereby undertakes to observe and be bound by the provisions of the Prospectus and Articles of Association of the Company.
21. The Applicant acknowledges that the Directors have absolute discretion to accept or reject in whole or in part any application for Shares without assigning any reason therefor.
22. The Applicant acknowledges that, if an application is rejected, the Administrator at the cost and risk of the Applicant will return application monies or the balance thereof, without interest, by telegraphic transfer to the account from which it was paid as soon as practicable.
23. The Applicant requests that the Shares issued pursuant to this application be registered in the name(s) and address set out below.
24. The Administrator is hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by the Applicant in written form or by facsimile. If the instructions are given by them by facsimile, the Applicant undertakes to confirm them in writing. The Applicant hereby agrees to indemnify the Administrator and agree to keep it indemnified against any loss of any nature whatsoever arising to any of them as a result of it acting upon facsimile instructions. 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.
25. The Applicant warrants that it is fully empowered and has authority to make this investment whether the investment is on their own behalf or on the behalf of one or more other persons or institutions.
26. The Applicant confirms that they have the right and authority to request a redemption or repurchase of Shares and confirm that they will comply with the redemption procedures set out in the Prospectus. All redemption instructions may be made in writing or by facsimile.
27. The Applicant agrees that the issue and allotment to them of Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and they confirm that, in subscribing for Shares, they are not relying on any information or representation other than such as may be contained in the Prospectus.
28. The Applicant hereby agrees to indemnify and keep indemnified the Company, the Manager, the Investment Manager, the Distributor and the Administrator against any loss arising to any of them as a result of any breach of any representation, warranty, covenant, confirmation or acknowledgement by it in this Subscription Form or of their failure to disclose any relevant details or provide them with all information requested by any of them.
29. In the case of delay or failure to provide satisfactory information, the Administrator may, upon instruction from the Directors or the Manager, take such action (including declining to accept an application) as it thinks fit.
30. The Applicant agrees to notify the Administrator immediately if they become aware that any of these warranties, confirmations and acknowledgements is no longer accurate and complete in all respects and agrees immediately either to sell or to tender to the Administrator for redemption a sufficient number of Shares to allow the warranties, confirmations, and acknowledgements to be made.

#### 4 REPRESENTATIONS / UNDERTAKINGS OF THE APPLICANT (CONTINUED)

31. The Applicant agrees to repeat the various warranties, confirmations, and acknowledgements in this Subscription Form to the Administrator at such times as the Administrator may request, and to provide on request such certifications, documents or other evidence as the Administrator may reasonably require to substantiate such representations.
32. The Applicant acknowledges and agrees that no amendment or variation to the terms of this form will be valid or binding unless explicitly brought to the attention of the Company and approved in writing by the Directors of the Company.
33. (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 manager of such survivor or survivors.
34. The Applicant acknowledges that the Company or the Administrator on its behalf intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") regulations, (ii) any applicable law relating to the OECD Common Reporting Standard ("CRS") or (iii) any provisions imposed on the Company under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA"), the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information, sections 891E, 891F or 891G of the Taxes Consolidation Act 1997 ("TCA") and any applicable regulations implementing same so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations, the IGA, CRS and any other applicable laws.
35. The Applicant agrees to provide to the Company, the Manager, the Investment Manager, the Distributor and the Administrator the necessary completed FATCA/CRS self-certification declarations (Appendix II hereto refers), and any additional confirmations and/or classifications 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 the FATCA regulations, the IGA, CRS, any law arising out of sections 891E, 891F or 891G of the TCA as described above, and any other applicable laws relating to the automatic exchange of information or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, the Applicant hereby agrees to notify the Company, the Manager, the Investment Manager, the Distributor and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Manager, the Investment Manager, the Distributor and the Administrator may direct, including where appropriate, redemption of their Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Manager, the Investment Manager, the Distributor and the Administrator (as applicable). If relevant, the Applicant agrees to notify the Company and the Administrator of any change to their tax residency status. The Applicant hereby also agrees to indemnify and keep indemnified the Company, the Manager, the Investment Manager, the Distributor and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet their obligations pursuant to this section or failure to provide such information which has been requested by the Company, the Manager, the Investment Manager, the Distributor and the Administrator and has not been provided by the Applicant, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by the Applicant to the Company, the Manager, the Investment Manager, the Distributor and the Administrator. The Applicant further acknowledges that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of the Applicant's entire holding in the Company, and that the Company and the Custodian are authorized to hold back from redemption proceeds or other distributions to them such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and the Applicant shall indemnify and keep indemnified the Company and the Custodian against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.
36. The Applicant acknowledges that the Company will be required to withhold 'exit tax' on a 'chargeable event' (e.g. on a redemption or distribution) unless the Applicant is either (i) not resident or ordinarily tax resident in Ireland at that time and has completed in advance the attached Non-resident declaration (Appendix I hereto refers) or (ii) resident in Ireland for tax purposes but is not an Irish taxable person at that time and has completed in advance the attached Resident Entities Composite Declaration (Appendix I hereto refers). Further information on the operation of the exit tax regime on chargeable events can be found in the Prospectus.
37. If the undersigned is acting as agent, representative or nominee (a "Nominee"), the Nominee acknowledges and agrees that the representations, warranties, acknowledgements, covenants, and confirmations herein are also made on behalf of the beneficial owner(s). The Nominee represents and warrants that the Nominee has all requisite power, authority, licence, and permission to enter into and perform the obligations under this Subscription Form and the Nominee represents and warrants, after reasonable inquiry, that the representations, warranties, acknowledgements, covenants and confirmations provided in this Subscription Form and otherwise to the Company and/or Administrator through the Nominee are accurate and complete. The Nominee agrees to indemnify the Fund, the Company, the Manager, the Administrator, the Custodian, the Investment Manager and the Distributor for any and all damages, costs, fees, losses and expenses (including counsel fees and disbursements) in connection with or resulting from the Nominee's misrepresentation or misstatement contained herein or breach thereof, or the lack of proper authorisation from the beneficial owner(s) to enter into this Subscription Form or perform the obligations hereof.

## 5 REGISTRATION DETAILS – PRIVATE APPLICANT

PLEASE COMPLETE IN BLOCK LETTERS IF BY HAND

APPLICANT NAME

TAX ID NO.

DATE OF BIRTH

DD / MM / YYYY

DATE

DD / MM / YYYY

TOWN / CITY

COUNTRY OF BIRTH

PASSPORT COUNTRY

PASSPORT NUMBER

EMAIL ADDRESS

APPLICANT NAME

TAX ID NO.

DATE OF BIRTH

DD / MM / YYYY

DATE

DD / MM / YYYY

TOWN / CITY

COUNTRY OF BIRTH

PASSPORT COUNTRY

PASSPORT NUMBER

EMAIL ADDRESS

APPLICANT NAME

TAX ID NO.

DATE OF BIRTH

DD / MM / YYYY

DATE

DD / MM / YYYY

TOWN / CITY

COUNTRY OF BIRTH

PASSPORT COUNTRY

PASSPORT NUMBER

EMAIL ADDRESS

APPLICANT NAME

TAX ID NO.

DATE OF BIRTH

DD / MM / YYYY

DATE

DD / MM / YYYY

TOWN / CITY

COUNTRY OF BIRTH

PASSPORT COUNTRY

PASSPORT NUMBER

EMAIL ADDRESS

## 6 REGISTRATION DETAILS – INSTITUTIONAL AND CORPORATE APPLICANTS

### APPLICANT NAME

The required Client Identification documents, outlined under "Client Identification requirements" must be submitted in full by mail along with the Subscription Form. Failure to do so may result in the cancellation of this subscription request.

COUNTRY

DATE OF INCORPORATION

APPLICANT'S PRINCIPAL BUSINESS

### CONTACT DETAILS (ALL APPLICANT TYPES)

#### REGISTERED ADDRESS



TOWN

POSTCODE

#### MAILING ADDRESS (IF DIFFERENT)



TOWN

POSTCODE

#### PRIMARY CONTACT NAME

PHONE NUMBER

FAX NUMBER

EMAIL ADDRESS

#### SECONDARY CONTACT NAME (IF APPLICABLE)

PHONE NUMBER

FAX NUMBER

EMAIL ADDRESS

Please note that by providing contact Email address and / or Fax numbers, you are electing to receive dealing confirmations and account statements via email and / or fax to these contact details and copies will also be issued by post (regular mail). It will also be deemed that you have accepted the terms and conditions of use of this email service, copies of which are available upon request.

## IMPORTANT – CLIENT IDENTIFICATION REQUIREMENTS

It is important to note that the appropriate Client Identification documents in respect of anti-money laundering must be received as part of your completed Subscription Form. Failure to fully satisfy the Company's and the Administrator's Client Identification requirements can result in your subscription being delayed to a later dealing date and can even result in your application being rejected. **Applicants for Shares are requested to review the section entitled Anti-Money Laundering, below to identify the Client Identification documents which you must submit to the Administrator as part of your application.** The Company and the Administrator reserve the right to change the following requirements from time to time in order to keep up to date with changing regulations and best practices.

## 8 ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS

The following materials must be provided to the Administrator:

**Important:** For the purposes of certifying the documentation requested below, certification by any of the following persons is acceptable: A Police Officer, Chartered & Certified Public Accountants, Notaries Public/ Practicing Attorneys/ Solicitors/ Lawyers/ Commissioners for Oaths, Embassy/ Consular Staff, Officer of a Bank of a Financial Institution in an approved jurisdiction or an authorised employee of a company affiliated with the Registrar and Transfer Agent.

### 1. For Designated Persons<sup>1</sup> acting on their own account in a Specified Country<sup>2</sup>

- ☐ Please provide the name of your Regulator and Licence or Registration Number

Name or Regulatory Authority or website URL

Registration / License No.

- ☐ A certified Copy or original Authorised Signatory Lise to include the appropriate mandate to operate the account

### 2. For Designated Persons<sup>1</sup> in a Specified Country<sup>2</sup> acting on behalf of Third Parties, or that Introduce Applicants (require the below in addition to items requested at 1. above)

- ☐ Completion of Third-Party Letter (available from the administrator). By completing this letter in lieu of any other documents listed in the AML Supplement, the Applicant acknowledges that BNY Mellon is placing reliance on the Designated Person, confirms that Customer Due Diligence (CDD) documentation will be made available and also confirms that the entity has adequate anti-money laundering policies and procedures in place which are consistent with all applicable anti-money laundering laws and regulations with the regulated jurisdiction in which they operate.

Or if a Nominee Applicant:

- ☐ If the Nominee is owned by a Designated Person, completion of the letter (available from the administrator) in lieu of any other documents listed in the AML Supplement, this letter acknowledges that BNY Mellon is placing reliance on the Designated Person, confirms that Customer Due Diligence (CDD) documentation will be made available and also confirms that the entity has adequate anti-money laundering policies and procedures in place which are consistent with all applicable anti-money laundering laws and regulations with the regulated jurisdiction in which they operate.

### 3. For Individuals in Specified Country<sup>2</sup> (inc. IRA participants, Keogh Plans) (Documentation is required for each Joint Application as applicable)

- ☐ A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc); **or**.

### 4. For all other individuals

- ☐ A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and **2** different forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc);

### 5. For Listed Companies<sup>3</sup> (or wholly owned subsidiary of same) in a Specified Country<sup>2</sup>

- ☐ A certified copy of: a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc); **or**.

### 6. For Private Companies in a Specified Country<sup>2</sup>

- ☐ A certified copy of a certificate of due formation and organisation and continued authorisation to conduct business in the jurisdiction of its organisation (e.g. Certificate of incorporation/registration).
- ☐ A certified copy of the Memorandum and Articles of Association or equivalent constitutional document.
- ☐ A certified copy or original of the appropriate authorised mandate for the directors to open/operate the account.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ Original or certified copy of Register of Members/shareholders (beneficial owners) listing the name of each person who directly, or indirectly, is the beneficial owner of more than 25% of any voting or non- voting class of equity interests of the prospective Applicant or exercises control over the management of the company.
- ☐ Original or Certified copy of Register of Directors.
- ☐ For 2 Directors: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc); or identification requirements per legal form if not individuals.



## 8 ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS (CONTINUED)

### 7. For all other Private Companies (require the below in addition to all items requested at 6. above)

- ☐ For all beneficial owners as described above: A certified copy of a government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current address dated within the last 6 months (e.g., current utility bill, bank statement etc); or identification requirements per legal form if not individuals.

### 8. For Public Bodies<sup>4</sup> in a Specified Country<sup>2</sup>

- ☐ Please provide URL to relevant website detailing status as a Public Body

- ☐ A certified Copy or original Authorised Signatory List to include the appropriate mandate to operate the account

### 9. For Public Bodies/Local Authorities in a Specified Country<sup>2</sup> where 8. above does not apply

- ☐ A certified copy of the relevant Constitution/Formation Document.
- ☐ A certified copy or original Authorised Signatory List to include the appropriate mandate to operate the account.
- ☐ Names of each Public Body Official.

### 10. For all other Public Bodies/Local Authorities (require the below in addition to all items requested at 9. above)

- ☐ For 2 Officials: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc);

It should be noted that Public Bodies/ Local Authorities in certain jurisdictions may fall into the category of entities which are owned or controlled by PEPs and therefore may be subject to additional documentation requirements as well as Senior Management approval prior to account opening.

### 11. For Pension Schemes Providing Retirement Benefits to Employees in a Specified Country<sup>2</sup> (where deductions from wages and the rules of the scheme do not permit a member's interest under the scheme to be assigned)

- ☐ A certified copy of the relevant Revenue/Tax Authority approval certificate.
- ☐ An original or certified copy of the appropriate authorised mandate for the directors to open/operate the account. e.g Certified copy of evidence that the person representing the Applicant is empowered (trust deed, charter or constitutional document).
- ☐ Certified copy of evidence that the person representing the Applicant is empowered (trust deed, charter or constitutional document).
- ☐ A certified Copy or original Authorised Signatory List.

### 12. For Pension Schemes in a Specified Country<sup>2</sup> where 11. above does not apply

- ☐ A certified copy of the relevant Revenue/Tax Authority approval certificate.
- ☐ A certified copy of the relevant Constitution/Formation Document.
- ☐ Names of the Trustees/Directors/Governors or equivalent.
- ☐ An original or certified copy of the appropriate authorised mandate for the directors to open/operate the account.
- ☐ A certified copy or original Authorised Signatory.

### 13. For all other Pension Schemes (require the below in addition to all items requested at 12. above).

- ☐ For the Administrator/ Trustee/Controller(s): A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc); or identification per legal form.

### 14. For Private Trusts in a Specified Country<sup>2</sup>

- ☐ A certified copy of the Trust Deed or equivalent constitutional document.
- ☐ A certified copy or original of the appropriate authorised mandate for the Trustees to open/operate the account.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ List of beneficial owners/controllers if not already provided in Trust Deed.
- ☐ For 2 Trustees: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc); or if not an individual, identification documentation per legal form.

### 15. For all other Private Trusts (require the below in addition to all items requested at 14. above)

- ☐ For the Owner(s)/Controller(s)/Settlor/Beneficiaries: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc); or if not an individual, identification documentation per legal form.

## 8 ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS (CONTINUED)

### 16. For Partnerships in a Specified Country<sup>2</sup>

- ☐ A certified copy of the Partnership Agreement or appropriate excerpts.
- ☐ A certified copy or original of the appropriate authorised mandate for the General Partner or Partners (as applicable) to open/operate the account.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ For 2 Partners: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc).

### 17. For all other Partnerships (require the below in addition to all items requested at 16. above)

- ☐ For any beneficial owner who is an individual or entity who ultimately is entitled to or controls, 25% or more of the capital or profits of the partnership, otherwise exercises control over management of the partnership a certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc); or if not an individual, identification documentation per legal form.

### 18. For Registered Charities/Foundations in a Specified Country<sup>2</sup>

- ☐ A certified copy of the relevant Revenue/Tax Authority approval or proof of registration status from the relevant Charity Commission or equivalent.
- ☐ A certified copy or original of the appropriate authorised mandate which states who has authorisation to transact on the account. The mandate must be signed by the member/person/authorised representative.
- ☐ A certified copy or original Authorised Signatory List.

### 19. For all other Charities/Foundations

- ☐ A certified copy of the relevant Constitutional/Formation Document (or Audited Accounts).
- ☐ A certified copy of the appropriate authorised mandate which states who has authorisation to transact on the account. The mandate must be signed by the member/person/authorised representative.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ Names of each Trustee/Director/Governor (or equivalent).
- ☐ For 2 Trustees/Directors/Governors/Board Members: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 2 forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc);

### 20. For Clubs and Societies

- ☐ A letter detailing the legal status and purpose of the Club/Society including names of all Officers.
- ☐ A certified copy or original of the appropriate authorised mandate detailing those empowered to open/operate the account.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ For 2 Officers: A certified copy of a valid government issued form of picture identification (e.g., passport, etc), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc);

### 21. For Collective Investment Schemes

- ☐ Prospectus or Operating Memorandum.
- ☐ A certified copy or original of the appropriate authorised mandate for the directors to open/operate the account.
- ☐ A certified copy or original Authorised Signatory List.
- ☐ Letter of Undertaking from Scheme Administrator per No. 2 above detailing the AML policies undertaken to identify and verify the scheme Applicants.

#### Notes:

- 1 A "Designated Person" is a regulated financial institution (i.e., bank or broker-dealer), a credit institution, a financial institution, an auditor, external accountant or tax adviser, a relevant independent legal professional, a trust or company service provider that is located in a Specified Country.
- 2 Specified Countries: EU Member States and Argentina, Australia, Brazil, Canada, Hong Kong, Iceland, Japan, Liechtenstein, Mexico, New Zealand, Norway, Singapore, Switzerland, South Africa, USA, The Channel Islands and the Isle of Man, The Dutch overseas territories of Netherlands Antilles and Aruba, The French Overseas Territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis and Futuna.
3. Listed company is one whose securities are admitted to trading on a regulated market.
4. (a) the Applicant has been entrusted with public functions pursuant to the Treaty on the European Union, the Treaties on the European Communities or Community secondary legislation or (b) the Applicant's identity is publicly available, transparent and certain in the reasonable opinion of BNYM (c) either the Applicant is accountable to a Community institution or to the public authority of an EEA state. (d) a body, organisation or group organised under The Freedom of Information Act 1997.

## 9 ADDITIONAL DISCLOSURES

The Applicant hereby represents that they are not an individual(s) or entity listed on the United States Department of Treasury's Office of Foreign Assets Control ("OFAC") website and they are not directly or indirectly affiliated with, any country, territory, individual or entity named on an OFAC list or prohibited by any OFAC sanctions programmes.

The Applicant hereby represents that the monies to be used by them in subscribing for share / units in the Company are not directly or indirectly derived from activities that may contravene United States federal or state, or international, laws and regulations, including anti-money laundering laws and regulations.

"They are not a senior political figure(s) and they are not

(an) immediate family member(s) of or closely associated with a senior political figure (as those terms are defined in the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 and 2013).

They are not (a) "foreign shell bank" and do not transact with a "foreign shell bank" as the term is defined in the US Patriots Act 2001.

## 10 DATA TRANSMISSION

The Applicant acknowledges and agrees that each of the Company, the Manager, the Investment Manager, the Distributor and the Administrator may disclose to each other, to any affiliate, to any other service provider to the Company and third parties such as auditors and any authority whether regulatory, taxation or otherwise where necessary or advisable to facilitate the acceptance and management of this subscription including, but not limited to, in connection with anti-money laundering purposes or for compliance with legal, taxation and regulatory requirements and guidance in any jurisdiction or for disclosure to the tax authorities in Ireland or the Applicant's country of residence or domicile or establishment or in any country as may be required by law, legislation or regulation or tax/regulatory authorities or for legitimate business interests copies of my/our subscription application/documents or other documents and any information concerning me/us in my/our respective possession, whether provided by me/us to the Company, the Manager, the Investment Manager, the Distributor and the Administrator or otherwise, including details of my/our holdings in the Company, historical and pending transactions in the Shares and the values thereof, and any such disclosure shall not be a breach of any restriction upon the disclosure of information imposed on any such person by law or otherwise.

The Applicant hereby consents to the transmission by the Administrator of personal data provided by me / us to the Administrator being transferred to countries which are outside of the European Economic Area and to countries which do not have data protection legislation in place which is equivalent to that in place within the European Economic Area.

## 11 ELECTRONIC DELIVERY OF ACCOUNT INFORMATION

- a. The Applicant hereby agrees and provides the Applicant's consent to have the Company, the Manager, the Investment Manager, the Distributor and the Administrator electronically deliver Account Communications. "Account Communications" means all current and future account statements; Company Documents (including all supplements and amendments thereto); notices (including privacy notices); letters to Applicants; annual audited financial statements; regulatory communications and other information, documents, data and records regarding the Applicant's investment in the Company. Electronic communication by the Company, the Manager, the Investment Manager, the Distributor and the Administrator includes e-mail delivery as well as electronically making available to the Applicant Account Communications on the Company's or the Investment Manager's Internet site, if applicable. It is the Applicant's affirmative obligation to notify the Company in writing if the Applicant's e-mail address changes.
- b. The Applicant may revoke or restrict its consent to electronic delivery of Account Communications at any time by notifying the Company, in writing, of the Applicant's intention to do so.
- c. The Company, the Manager, the Investment Manager, the Distributor and the Administrator will not be liable for any interception of Account Communications. Applicants should note that no additional charge for electronic delivery will be assessed, but the Applicant may incur charges from its Internet service provider or other Internet access provider. In addition, there are risks, such as systems outages, that are associated with electronic delivery.
- d. The Applicant hereby agrees that the Administrator and its directors, officers, employees and agents shall be fully indemnified and shall not be liable to the Applicant or to any shareholders in the Company for any direct loss, damage, expense (including without limitation, legal counsel and professional fees and other costs and expenses incurred in connection with the defence of any claim, action or proceedings) occasioned by act or omission of the Administrator and its directors, officers and employees in connection with the electronic delivery of Account Communications other than as a result of the bad faith, negligence or willful misconduct of the Administrator in the performance of its duties as Administrator of the Company.
- e. The Applicant hereby agrees that the Administrator and its directors, officers, employees and agents shall be fully indemnified and shall not be liable to the Applicant or to any shareholders in the Company for any direct loss, damage, expense (including without limitation, legal counsel and professional fees and other costs and expenses incurred in connection with the defence of any claim, action or proceedings) occasioned by act or omission of the Administrator and its directors, officers and employees in connection with any transactions sent and received by way of facsimile or other electronic medium.

## 12 CONTACT DETAILS FOR ASSISTANCE

Enquiries concerning the Fund and the Shares (including information concerning subscriptions and redemptions procedures and the current Net Asset Value per Share) should be directed to the Administrator at:

Liontrust Global Fundamental Plc  
BNY Mellon Fund Services (Ireland) Designated Activity Company  
Wexford Business Park  
Drinagh, Wexford  
Y35 VY03, Ireland

Telephone: + 353 21 438 0915  
Fax: + 353 21 438 0930  
Email: [liontrustglobalfundamental@bnymellon.com](mailto:liontrustglobalfundamental@bnymellon.com)

### 13 SIGNATURES (Please note that Subscription Forms without the declarations on page 1 completed will be rejected)

#### INDIVIDUAL(S):

REGISTERED NAME

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME OF APPLICANT

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME OF APPLICANT

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME OF APPLICANT

SIGNATURE

DATE

DD / MM / YYYY

#### ENTITIES:

REGISTERED NAME

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

DD / MM / YYYY

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

DD / MM / YYYY

13 SIGNATURES (Please note that Subscription Forms without the declarations on page 1 completed will be rejected) (CONTINUED)

**Notes:**

1. This Subscription Form must be received for the attention of: Hedge Team, Shareholder Services Department.
2. To be valid Subscription Forms must be signed by each Applicant.
3. In the case of a firm (not a limited company) applications should be in the name(s) of and signed by the proprietor(s).
4. A corporation should complete this Subscription Form under seal or under the hand of a duly authorised official who should state his capacity and furnish a certified copy of the authority pursuant to which such official is authorised.
5. If this Subscription Form is signed under the power of attorney, such power of attorney or a duly certified copy thereof and confirmation from a local lawyer as to the validity of such power of attorney under its proper or governing law must accompany this Subscription Form.
6. If this Subscription Form is not fully completed to the satisfaction of the Administrator, the application may not be accepted.

## APPENDIX I: NON-RESIDENT DECLARATION

### 1 DECLARATION OF RESIDENCE OUTSIDE IRELAND

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

#### Declaration of 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, an
- ☐ 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 the 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.

I/**we**\* also 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 such persons; and
- ☐ I/**we**\* will inform you in writing if I/**we**\* become aware that any person, on whose behalf I/**we**\* hold shares/units, becomes resident in Ireland.

\*Delete as appropriate

NAME OF APPLICANT

ADDRESS OF APPLICANT

  


TOWN

POSTCODE



SIGNATURE OF APPLICANT OR AUTHORISED SIGNATORY (DECLARANT)

DATE

DD / MM / YYYY

CAPACITY OF AUTHORISED SIGNATORY (IF APPLICABLE)

JOINT APPLICANT NAME

SIGNATURE

DATE

DD / MM / YYYY

#### IMPORTANT NOTES:

- Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- To be valid, the Subscription 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.
- If the Subscription 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.

## 2 RESIDENT ENTITIES COMPOSITE DECLARATION

If the Applicant is resident in Ireland for tax purposes but is not an Irish taxable person, the Applicant should complete this section.

### Declaration referred to in Section 739D(6), Taxes Consolidation Act 1997

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.

- 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 check box 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

## 2 RESIDENT ENTITIES COMPOSITE DECLARATION (CONTINUED)

NAME OF APPLICANT

IRISH TAX REFERENCE NUMBER OF APPLICANT

AUTHORISED SIGNATORY (DECLARANT)

DATE

DD / MM / YYYY

TITLE

CAPACITY IN WHICH DECLARATION IS MADE



### 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.

## 3 RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013 (IRISH RESIDENT/ORDINARILY RESIDENT APPLICANTS)

The Company must collect additional information in order to satisfy Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013). Therefore any individual, company or any unincorporated body of persons which are an Irish resident (other than an exempt Irish resident (i.e. not an Irish taxable person) in accordance with Section 739D(6) of the Taxes Consolidation Act 1997 (as amended) that has provided the appropriate declaration as to its exempt status or a non-Irish resident that has provided the appropriate declaration of residence outside Ireland) or ordinarily Irish resident must provide the following additional information and documentation:

TAX IDENTIFICATION NUMBER (TIN) / PPS NUMBER

Any one of the following additional documents are required to verify the tax identification number or PPS Number (either a copy or the original is sufficient):

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

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain 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 its duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Acts 1988 to 2003, and with effect from 25 May 2018, the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and the Council of 27 April 2016), including any amendments thereto ("Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.



#### 4 SIGNATURES (Please note that Subscription Forms without the declarations on page 1 completed will be rejected)

##### INDIVIDUAL(S):

REGISTERED NAME

SIGNATURE

DATE

PRINT NAME OF APPLICANT

SIGNATURE

DATE

PRINT NAME OF APPLICANT

SIGNATURE

DATE

PRINT NAME OF APPLICANT

SIGNATURE

DATE

##### ENTITIES:

REGISTERED NAME

SIGNATURE

DATE

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

PRINT NAME & TITLE OF SIGNATORY

SIGNATURE

DATE

4 SIGNATURES (Please note that Subscription Forms without the declarations on page 1 completed will be rejected) (CONTINUED)

**Notes:**

1. This Subscription Form must be received for the attention of: Hedge Team, Shareholder Services Department.
2. To be valid Subscription Forms must be signed by each Applicant.
3. In the case of a firm (not a limited company) applications should be in the name(s) of and signed by the proprietor(s).
4. A corporation should complete this Subscription Form under seal or under the hand of a duly authorised official who should state his capacity and furnish a certified copy of the authority pursuant to which such official is authorised.
5. If this Subscription Form is signed under the power of attorney, such power of attorney or a duly certified copy thereof and confirmation from a local lawyer as to the validity of such power of attorney under its proper or governing law must accompany this Subscription Form.
6. If this Subscription Form is not fully completed to the satisfaction of the Administrator, the application may not be accepted.

## APPENDIX II: ENTITY SELF-CERTIFICATION FOR FACTA 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 Subscription Form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003). Please 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 investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to Irish Revenue website 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".

#### \*SECTION 1: ACCOUNT HOLDER IDENTIFICATION

##### \*ACCOUNT HOLDER NAME (THE "ENTITY")

##### \*COUNTRY OF INCORPORATION OR ORGANISATION

##### \*CURRENT (RESIDENT OR REGISTERED) ADDRESS



TOWN

POSTCODE



##### MAILING ADDRESS (IF DIFFERENT FROM ABOVE)



TOWN

POSTCODE



#### \*SECTION 2: FACTA 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 FACT CLASSIFICATION

(the information provided in this section is for FACTA, please note your classification may differ from your CRS classification in Section 5):

##### 3.1 Financial Institutions under FACTA:

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;

- i. Government Entity

☐

- ii. International Organisation

☐

- iii. Foreign Central Bank

☐

- iv. Exempt Retirement Fund

☐

- v. 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

☐


- VI. The Entity is a Trustee Documented Trust

Please provide your Trustees name and GIIN

TRUSTEE'S NAME

TRUSTEE'S GIIN



3.4 Non-Financial Institutions under ("NFFE") under FACTA:

If the Entity is a 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)

- a. Passive (NFFE) with no Controlling Persons that are specified U.S Persons.

- b. 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. Expected (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 ("TINs")). Please refer to the OECD CRS web Portal for AEOI for more information on Tax Residence and TIN's.

<https://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 tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

COUNTRY OF 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** – The account Holder is otherwise unable to obtain a TIN (please explain why you are unable to obtain a TIN).
- ☐ **Reason C** – No TIN is required. (Note: This should only be selected 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 FACTA classification in Section 3 above):

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

For more information please see the OECD CRS Standard and associated commentary.

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

**5.1 Financial Institutions under CRS:**

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

Note: 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.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

- i. A Reporting Financial Institution resident in a participating CRS jurisdiction ☐
- ii. A Financial Institute Resident in a Non-Participating Jurisdiction (please 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):

- Government Entity ☐
- International Organisation ☐
- 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 NFE or Passive NFE.

- i. **Active NFE.** A corporation the stock of which is regularly traded on an established securities market ☐

PLEASE PROVIDE THE NAME OF 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 SECURITIES MARKET ON WHICH THE ENTITY IS REGULARLY TRADED

- iii. **Active NFE.** A Government Entity of Central Bank ☐

**SECTION 6: CONTROLLING PERSONS**

(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):

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 VII 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:

**6.2 Complete a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form for each Controlling Person listed in Section 6.1.**

**SECTION 7: DECLARATIONS AND UNDERTAKINGS**

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/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 on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (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)\*:

DATE

DD / MM / YYYY

\*PRINT NAME(S)\*

\*CAPACITY IN WHICH DECLARATION IS MADE\*

## INDIVIDUAL (INCLUDING CONTROLLING PERSONS) SELF-CERTIFICATION FOR FACTA 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 2003). 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 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 and guidance on FATCA or CRS please refer to Irish Revenue or OECD websites at:

<http://www.revenue.ie/en/business/aeoi/index.html> or the following link to the OECD CRS Information Portal at:  
<http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

If any of the information below about the 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/CONTROLLER PERSON IDENTIFICATION

\*ACCOUNT HOLDER/CONTROLLING PERSON NAME:

\*CURRENT RESIDENTIAL ADDRESS



TOWN

POSTCODE



COUNTRY

\*PLACE AND DATE OF BIRTH\*

\*TOWN OR CITY OF BIRTH\*

\*COUNTRY OF BIRTH\*



DATE

DD / MM / YYYY

### \*SECTION 2: FACTA DECLARATION OF US CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES

Please tick (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:

☐ (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/RESIDENCES**

(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 only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

COUNTRY OF 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** – The Account Holder is otherwise unable to obtain a TIN (please explain why you are unable to obtain a TIN).
- ☐ **Reason C** – No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction).

**SECTION 4: TYPE OF CONTROLLING PERSON**

(ONLY to be completed by an individual who is a Controlling Person of an entity investor 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 APPLIES TO YOU/THE INVESTOR BY TICKING THE APPROPRIATE BOX

PLEASE TICK

ENTITY NAME

Controlling Person of a legal person – control by ownership	<input type="checkbox"/>	
Controlling Person of a legal person – control by other means	<input type="checkbox"/>	
Controlling Person of a legal person – senior managing official	<input type="checkbox"/>	
Controlling Person of a trust – settlor	<input type="checkbox"/>	
Controlling Person of a trust – trustee	<input type="checkbox"/>	
Controlling Person of a trust – protector	<input type="checkbox"/>	
Controlling Person of a trust – beneficiary	<input type="checkbox"/>	
Controlling Person of a trust – other	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – protector-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – other-equivalent	<input type="checkbox"/>	



## SECTION 5: DECLARATION AND UNDERTAKINGS

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

I acknowledge 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 maybe 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(S)

DATE

DD / MM / YYYY

PRINT NAME(S)

CAPACITY (IF CONTROLLING PERSON)

## APPENDIX III: ENTITY SELF-CERTIFICATION FOR FACTA AND CRS

### INTRODUCTION

By completing the Subscription Form, you are providing personal data to the Company. This Data Protection Notice is intended to ensure that you are aware of what personal data the Company, as data controller holds in relation to you and how that data is used. We will use your personal data only for the purposes and in the manner set forth below which describes the steps we take to ensure our processing of your personal data is in compliance with the Data Protection Acts 1988 to 2018 (as may be amended from time to time) and the General Data Protection Regulation (EU) 2016/679 (GDPR) and any implementing legislation (Data Protection Legislation).

**Please note: you have the right to object to the processing of your personal data where that processing is carried out for our legitimate interests.**

#### Scope

This Data Protection Notice applies to you and to third parties whose information you provide to us in connection with our relationship with you. Please ensure that you provide a copy of this Data Protection Notice to any third parties whose personal data you provide to us. This Data Protection Notice applies to all personal data processed by us regardless of the media on which it is stored. We may update this Data Protection Notice at any time and will notify you in writing of any changes.

#### Nature, Purpose & Legal Basis for Processing

Personal data is any data relating to a living person who can be identified directly from that data, or indirectly in conjunction with other information. The Company will hold some or all of the following types of personal data: name; address; date of birth; bank details; tax identification numbers; email address; passport country and number. This personal data will be used to manage and administer the investor's holding in the Company and any related accounts on an on-going basis.

Personal data will only be processed to the extent necessary for the purposes set out above for the Company's legitimate business interests and to operate the Fund, including managing and administering a Shareholder's investment in the Fund on an on-going basis which enables the Company to satisfy its contractual duties and obligations to the Shareholder. The Company will also process personal data as necessary to comply with legal obligations. We will inform you in advance if we intend to further process your personal data for a purpose other than as set out above. We may also seek your specific consent to the processing of personal data for other specific purposes. You will have the right to withdraw such consent at any time.

#### Where you do not provide your Personal Data

If you do not provide us with your personal data, we may not be able to process your investor application. We will tell you when we ask for information which is a contractual requirement or needed to comply with our legal obligations.

#### Recipients of Investor Personal Data

Your personal data will be disclosed to, and processed by, the Administrator (who will be a Data Processor of your personal data, as defined in Data Protection Legislation) for the purposes of carrying out the services of administrator and registrar of the Company and to comply with legal obligations including under company law and anti-money laundering legislation or foreign regulatory requirements. The Administrator may in turn disclose your personal data to agents or other third parties where necessary to carry out these purposes.

We may also disclose your personal data to:

- the money laundering reporting officer, the Manager, the Investment Manager, and our or their duly authorised agents and related, associated or affiliated companies;
- the Irish Revenue Commissioners;
- the Central Bank of Ireland;
- agents of the Administrator who may process the data for anti-money laundering purposes or for compliance with foreign regulatory or tax requirements; and/or
- other third parties including financial advisers, regulatory, fiscal and law enforcement authorities, auditors, technology providers and professional advisers.

We take all reasonable steps, as required by Data Protection Legislation, to ensure the safety, privacy and integrity of your personal data and where appropriate, enter into contracts with such third parties to protect the privacy and integrity of such data and any information supplied.

#### Transfers of Personal Data outside the EEA

We may transfer your personal data to countries outside of Ireland (including the U.S. and India) which may not have the same data protection laws as Ireland. We will take all steps reasonably necessary to ensure that your personal data is treated securely, and that appropriate safeguards are in place to protect the privacy and integrity of such personal data, in accordance with Data Protection Legislation. Please contact us if you wish to obtain information concerning such safeguards (see 'Contact Us' below).

#### Security, Storage and Retention of Personal Data

The Company takes all reasonable steps as required by Data Protection Legislation to ensure the safety, privacy and integrity of your personal data. The Company will retain your personal data only for so long as is necessary to carry out the purposes set out above and to comply with any legal obligations.

#### Your Rights

You have a right to obtain a copy of, and the right to rectification of any inaccuracies in the personal data we hold about you by making a request to us in writing. You also have the right to request erasure, restriction, portability or object to the processing of your personal data or not to be subject to a decision based on automated processing, including profiling. You should inform us of any changes to your personal data. Any requests made under this section can be made using the details set out at 'Contact Us' below. We will respond to your request in writing, or orally if requested, as soon as practicable and in any event not more than one month after receipt of your request.

You have the right to lodge a complaint with the Office of the Data Protection Commissioner if you are unhappy with how your personal data is being handled.

#### Contact us

If you have any queries regarding this data protection notice, please contact us at [lionta@liontrust.co.uk](mailto:lionta@liontrust.co.uk)

Liontrust Global Fundamental Plc, 2 Savoy Court, London, WC2R 0EZ