

LIONTRUST GLOBAL FUNDS PLC APPLICATION FORM



This Application Form, together with the FATCA and CRS Self-Certification Form, the Declaration of Residency and the Money Laundering Verification Form constitutes your agreement to subscribe for Shares in Liontrust Global Funds Plc (the "Company"). All sections must be completed in their entirety.

Please complete, where relevant, ALL sections of this Application 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.

You should post or fax your account opening application form which may or may not include an initial subscription, to the Administrator's address below. Please note that if this is your first investment in shares of the Company, the fully signed original of the Application Form must be returned to the Administrator or the account will remain blocked. If you are unable to complete any part of this form, please contact the Administrator at:

Liontrust Global Funds Plc,
BNY Mellon Fund Services (Ireland) DAC,
Wexford Business Park, Rochestown, Drinagh, Wexford, Y35 VY03,
Ireland

Telephone: +353 1 900 6701
Facsimile: +353 1 900 6702
E-mail: liontrustglobalfunds@bnymellon.com

| 1 DETAILS OF APPLICANT(S) | |
|---|---|
| SHAREHOLDER 1 | SHAREHOLDER 2 |
| TITLE (MR / MRS / MISS / OTHER) | TITLE (MR / MRS / MISS / OTHER) |
| FIRST NAME | FIRST NAME |
| SURNAME | SURNAME |
| CORPORATE / NOMINEE NAME | CORPORATE / NOMINEE NAME |
| PERMANENT RESIDENTIAL ADDRESS | PERMANENT RESIDENTIAL ADDRESS |
| TELEPHONE NUMBER | TELEPHONE NUMBER |
| FAX NUMBER | FAX NUMBER |
| EMAIL | EMAIL |
| MAILING ADDRESS (IF DIFFERENT FROM THE ADDRESS OF THE FIRST NAMED HOLDER) | MAILING ADDRESS (IF DIFFERENT FROM THE ADDRESS OF THE FIRST NAMED HOLDER) |

If more than two applicants, please submit an additional page with the details of up to two additional applicants.

2 INVESTMENT DETAILS

Please invest (indicate monetary amount or number of shares below) in the following sub-fund(s) and indicate the share class(es) required:

Liontrust Global Funds Plc Sub Funds

| | Fund Class* | Subscription Amount | Number of Shares |
|--|-------------|---------------------|------------------|
| GF Absolute Return Bond Fund | | | |
| GF European Smaller Companies Fund | | | |
| GF European Strategic Equity Fund | | | |
| GF Global Dividend | | | |
| GF Global Innovation | | | |
| GF Global Technology | | | |
| GF High Yield Bond Fund | | | |
| GF Pan - European Dynamic Fund | | | |
| GF Special Situations Fund | | | |
| GF Strategic Bond Fund | | | |
| GF Sustainable Future European Corporate Bond Fund | | | |
| GF Sustainable Future Global Growth Fund | | | |
| GF Sustainable Future Multi-Asset Global Fund | | | |
| GF Sustainable Future Pan-European Growth Fund | | | |
| GF Sustainable Future US Growth Fund | | | |
| GF UK Growth Fund | | | |

* For details of fund classes available please refer to the Prospectus/fund supplements

3 DETAILS OF AGENT / INTERMEDIARY

This section only needs to be completed where the shareholder uses an Agent or Intermediary.

NAME OF AGENT

BANK ADDRESS

POSTCODE

CONTACT NAME

TELEPHONE NUMBER

FAX NUMBER

If any deals are included in this application form, please indicate:

Total front end to be applied (%)

Commission amount to be paid to the Agent / Intermediary (%)

By including their details above, the Agent/Intermediary shown confirms that they comply with all necessary laws and regulations in entering or soliciting a third party to enter into any contract in connection with this application form. In addition to verifying the source of funds, the Agent/Intermediary is obliged to verify the identity of any investor introduced by the Intermediary. An Agent/Intermediary should supply the information detailed in the relevant section of the Money Laundering Verification Form.

By ticking here, I hereby consent to the provision of contract notes, statements and other reports to us by secured and encrypted electronic transmission:

☐

4 METHOD OF PAYMENT

Please remit payment to the appropriate bank account in accordance with the deadlines outlined in the relevant fund supplement:

| CURRENCY | LIONTRUST GLOBAL FUND PLC BANK DETAILS | |
|----------|--|---|
| USD | Cash Correspondent Name: | The Bank of New York Mellon, New York |
| | Cash Correspondent BIC: | IRVTUS3N |
| | Global Custodian BIC: | IRVTBEBBXXX |
| | Global Custodial Account Name: | The Bank of New York Mellon SA NV ABA # 021 000 018 F/C account # |
| | Global Custodian Account Number: | 8900285451 |
| | Beneficiary Account Number: | 4791008400 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | Reference: | Contract number |
| EUR | Cash Correspondent Name: | Not required |
| | Cash Correspondent BIC: | Not required |
| | Global Custodian BIC: | 4791008260 |
| | Global Custodial Account Name: | The Bank of New York Mellon SA NV |
| | Global Custodian Account Number: | Not required |
| | Beneficiary Account Number: | 4791009780 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | IBAN: | BE70515479100025 |
| GBP | Reference: | Contract number |
| | Cash Correspondent Name: | The Bank of New York Mellon, New York |
| | Cash Correspondent BIC: | IRVTGB2X Sort Code 70-02-25 |
| | Global Custodian BIC: | IRVTBEBBXXX |
| | Global Custodial Account Name: | The Bank of New York Mellon SA/NV |
| | Global Custodian Account Number: | Not required |
| | Beneficiary Account Number: | 4791008260 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | IBAN: | BE70515479100025 |
| | Reference: | Contract number |
| | For BACS and UK Bank Telegraphic Transfers: | |
| | Sort code: | 70-02-25 |
| | Account Number: | 47910060 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | BIC: | IRVTGB2X |
| DKK | Cash Correspondent Name: | Skandinaviska Enskilda Banken AB, Copenhagen Branch |
| | Cash Correspondent BIC: | ESSEDKKK |
| | Global Custodian BIC: | IRVTBEBBXXX |
| | Global Custodial Account Name: | The Bank of New York Mellon SA/NV |
| | Global Custodian Account Number: | 5295-0017003860 |
| | Beneficiary Account Number: | 4791002080 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | Reference: | Contract number |
| SEK | Cash Correspondent Name: | Skandinaviska Enskilda Banken AB, Oslo Branch |
| | Cash Correspondent BIC: | ESSESESS |
| | Global Custodian BIC: | IRVTBEBBXXX |
| | Global Custodial Account Name: | The Bank of New York Mellon SA/NV |
| | Global Custodian Account Number: | 5201 85 157 56 |
| | Beneficiary Account Number: | 4791007520 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| CHF | Reference: | Contract number |
| | Cash Correspondent Name: | Credit Suisse (Switzerland) Ltd |
| | Cash Correspondent BIC: | CRESCHZZ80A |
| | Global Custodian BIC: | IRVTBEBBXXX |
| | Global Custodial Account Name: | The Bank of New York Mellon SA/NV |
| | Global Custodian Account Number: | 0835-0596251-93-002 |
| | Beneficiary Account Number: | 4791007560 |
| | Beneficiary Account Name: | LIONTRUST GLOBAL FUNDS DEALING ACC |
| | Reference: | Contract number |

All investors' subscription payments should include the Contract number if known.

PAYMENT MUST BE MADE FROM THE ACCOUNT OF THE INVESTOR(S)

| | |
|----------------------|----------------------|
| CURRENCY | CORRESPONDENT BANK |
| <input type="text"/> | <input type="text"/> |
| SWIFT / ABA | ACCOUNT NUMBER |
| <input type="text"/> | <input type="text"/> |

5 DIVIDEND AND REDEMPTION PAYMENT INSTRUCTIONS

Please tick your preferred dividend option: **Cash** ☐ **Reinvestment** ☐

Pay cash dividends and redemption payments to:

NAME OF BANK

ACCOUNT NAME

ACCOUNT NUMBER

SORT CODE

BANK ADDRESS

POSTCODE

If the section is not completed, future redemptions will be paid in favour of the registered shareholder(s) and sent to the registered address of the first named shareholder or to the mailing address and dividends will automatically be re-invested in further shares of the same class. Joint applicants acknowledge that they are also bound by these instructions. The present instruction shall apply to the relevant Fund and shall be valid until cancelled by me/us in writing.

In all cases where a Shareholder's anti-money laundering documentation is incomplete, dividends will be re-invested and redemptions payments will be held. Please see the main prospectus for further details. No third-party payments will be undertaken.

6 DECLARATION OF RESIDENCE OUTSIDE OF THE REPUBLIC OF IRELAND

This section must be completed by hand.

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration in order to receive payment without deduction of tax. It is important to note that this declaration shall apply in respect of any subsequent acquisitions of shares. Terms used in this declaration are defined in the Prospectus.

Please select if applying on own behalf or as an Intermediary:

Declaration on own behalf ☐

- I/we* declare that I am/we are* applying for the shares on my own/ our own behalf/on behalf of a company* and that I am/we are/the company* is/are entitled to the shares in respect of which this declaration is made and that;
- I am/we are/the company is* not currently resident or ordinarily resident in Ireland, and;
- should I/we/the company* become resident in Ireland I will/we will* so inform you, in writing, accordingly.

*Delete as appropriate (mandatory)

Declaration as Intermediary ☐

- We declare that we are applying for shares on behalf of persons:
 - who will be beneficially entitled to the shares;
 - who, to the best of our knowledge and belief, are neither resident nor ordinarily resident in Ireland;
 - that unless we specifically notify you to the contrary at the time of application, all applications for shares made by us from the date of this application will be made on behalf of such persons;
 - we will inform you in writing if we become aware that any person on whose behalf, we hold shares, becomes resident in Ireland.

DATE

SIGNED (SIGNATORY OF INTERMEDIARY IF APPLICABLE INCLUDING CAPACITY: (IE. DIRECTOR / MANAGER)

DD / MM / YYYY

In the case of joint holders, ALL applicants must complete this declaration

SHAREHOLDER 1

SHAREHOLDER 2

SHAREHOLDER 3

SHAREHOLDER 4

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, this application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by all applicants. If the applicant is a company, this application form must be signed by the company secretary or another authorised officer.
- If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, an original or certified copy of the power of attorney must be provided in support of the signature.

7 DECLARATION OF RESIDENCE WITHIN THE REPUBLIC OF IRELAND¹

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

- I declare that the information contained in this declaration is true and correct.
- I also declare if I am applying for the shares on behalf of the applicant who is entitled to shares 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:

- ☐ A pension scheme.
- ☐ A company carrying on life business within the meaning of section 706 TCA 1997.
- ☐ An investment undertaking.
- ☐ 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.
- ☐ A specified company.
- ☐ Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 7871 of the TCA 1997 (see further requirements for Qualifying Fund Manager below).
- ☐ A credit union to which Section 2 of the Credit Union Act, 1997 applies.

Please note the following additional requirement where the declaration is completed on behalf of a pension scheme, a company carrying on life business within the meaning of section 706 TCA 1997, an investment undertaking, a special investment scheme, a unit trust to which section 731(5) (a) TCA applies, a qualifying management company or a credit union to which Section 2 of the Credit Union Act 1997 applies.

- We undertake that, in the event that the shares cease to be assets of the *pension scheme/company carrying on life business within the meaning of section 706 TCA 1997/investment undertaking/special investment scheme/unit trust to which section 731(5) (a) TCA applies/ qualifying management company/credit union to which Section 2 of the Credit Union Act 1997 applies, including a case where the shares are transferred to another such entity, we will, by written notice, bring this fact to the attention of the Company accordingly.

* Delete as appropriate (mandatory)

Return of Values (Investment Undertakings) Regulations 2013

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 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 TIN or PPS Number (a copy or the original)

- P60
- P45
- P21 Balancing Statement
- Pay Slip (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 show the applicants 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.

7 DECLARATION OF RESIDENCE WITHIN THE REPUBLIC OF IRELAND¹ (CONTINUED)

Please see the table below for a list of exempted unit holders:

SHAREHOLDERS

TAXES CONSOLIDATION ACT 1997 REF

The following resident entities from which the investment undertaking (IU) has obtained a duly completed resident entity declaration:

| | |
|--|------------------------------------|
| Pension Schemes | s.739D(6)(a) |
| Companies carrying on a Life Assurance business | s.739D(6)(a) |
| Another investment undertaking | s.739D(6)(a) |
| Special investment schemes | s.739D(6)(a) |
| Unit trusts to which section 731(5) applies | s.739D(6)(a) |
| Charities | s.739D(6)(a) |
| Certain IFSC companies | s.739D(6)(a) |
| ARFs; AMRFs | s.739D(6)(a) |
| PRSA providers | s.739D(6)(a) |
| Credit Unions | s.739D(6)(a) |
| Companies, where the IU is a money market fund | s.739D(6)(a) |
| NAMA | s.739D(6)(a) |
| The National Pensions Reserve Fund | s.739D(6)(a) |
| Section 110 Companies | s.739D(6)(a) |
| Shareholders where the IU, immediately before a chargeable event, holds a non-resident declaration made by the person who made the investment; or where the IU has put in place equivalent measures with the written approval of the authorised Revenue officer. | s.739D(6)(7) s.739D(6)(7B) |
| A Shareholder who holds shares which are held in a recognised clearing system. | s.739B(21)(d)(i)(III) S.739G(3) |

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

- We also declare that at the time of making this declaration, any shares that are bought 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 regarded 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;
- We undertake that, in the event that the person referred to in paragraph (7) (d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA 1997, I/we will by written notice advise the Company accordingly.

Additional requirements where the declaration is completed by an Intermediary

We declare we are applying for shares on behalf of persons who:

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

Additional requirements where the declaration is completed by a Qualifying Fund Manager

We also declare that at the time this declaration is made, the shares in respect of which this declaration is made:

- Are assets of an approved retirement fund/an approved minimum retirement fund; and
- Are managed by the declarant for the individual named below who is beneficially entitled to the shares.

We undertake that, if the shares cease to be assets of the approved retirement fund/the approved minimum retirement fund, including a case where the shares are transferred to another such fund, we will, by written notice, bring this fact to the attention of the Company accordingly.

7 DECLARATION OF RESIDENCE WITHIN THE REPUBLIC OF IRELAND¹ (CONTINUED)

SHAREHOLDER 1

SHAREHOLDER 2

SHAREHOLDER 3

SHAREHOLDER 4

NAME OF APPLICANT 1

NAME OF APPLICANT 2

²IRISH TAX REFERENCE NUMBER OF APPLICANT

²IRISH TAX REFERENCE NUMBER OF APPLICANT

³AUTHORISED SIGNATORY

³AUTHORISED SIGNATORY

(DECLARANT (MR/MRS/MS/ETC.))

(DECLARANT (MR/MRS/MS/ETC.))

CAPACITY IN WHICH DECLARATION IS MADE

CAPACITY IN WHICH DECLARATION IS MADE

DATE

DD / MM / YYYY

DATE

DD / MM / YYYY

NAME OF APPLICANT 3

NAME OF APPLICANT 4

²IRISH TAX REFERENCE NUMBER OF APPLICANT

²IRISH TAX REFERENCE NUMBER OF APPLICANT

³AUTHORISED SIGNATORY

³AUTHORISED SIGNATORY

(DECLARANT (MR/MRS/MS/ETC.))

(DECLARANT (MR/MRS/MS/ETC.))

CAPACITY IN WHICH DECLARATION IS MADE

CAPACITY IN WHICH DECLARATION IS MADE

DATE

DD / MM / YYYY

DATE

DD / MM / YYYY

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 the Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the shares.
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 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. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

8 ENTITY SELF-CERTIFICATION FOR FACTA AND CRS

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections, to collect certain information about each investor's tax arrangements. Please complete the sections below and provide any additional information requested. In certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser. For further information on FATCA or CRS please refer to Irish Revenue website at

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

If the information below about the investor's tax residence or FATCA/CRS classification changes, please advise us of these changes promptly.

SECTION 1: Entity Investor Identification

INVESTOR NAME

COUNTRY OF INCORPORATION OR ORGANISATION

CURRENT REGISTERED ADDRESS*

POSTCODE

COUNTRY

MAILING ADDRESS (IF DIFFERENT FROM ABOVE)

POSTCODE

COUNTRY

SECTION 2: FACTA Declaration Specified US Person

- ☐ a. The Entity is a Specified US Person and the US Federal Taxpayer Identifying number (US TIN) is as follows:
- ☐ b. The Entity is not a Specified US Person (please also complete Sections 3, 4 and 5).
- ☐ c. The Entity is a US person but not a Specified U.S. Person (please also complete Sections 3, 4 and 5).

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

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:

- ☐ 1. Irish Financial Institution or a Partner Jurisdiction Financial Institution.
- ☐ 2. Registered Deemed Compliant Foreign Financial Institution.
- ☐ 3. Participating Foreign Financial Institution.

2. Please provide the Entity's Global Intermediary Identification number (GIIN):

8 ENTITY SELF-CERTIFICATION FOR FACTA AND CRS (CONTINUED)

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

- ☐ 1. 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

- ☐ 2. Exempt Beneficial Owner.
- ☐ 3. Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement).
- ☐ 4. Non-Participating Foreign Financial Institution.
- ☐ 5. Excepted Foreign Financial Institution.

4. Non-Financial Institutions under FACTA:

If the Entity is not a Financial Institution, please tick one of the below categories:

- ☐ 1. Active Non-Financial Foreign Entity.
- ☐ 2. Passive Non-Financial Foreign Entity (If this box is ticked, please include self-certification forms for each of your Controlling Persons).
- ☐ 3. Excepted Non-Financial Foreign Entity.

SECTION 4: CRS Declaration of Tax Residency

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")). Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN).

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

COUNTRY OF TAX RESIDENCY

TAX ID NUMBER

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

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

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

1. Financial Institutions under CRS:

If the Entity is a Financial Institution, please tick one of the below categories:

- ☐ 1. Financial Institution under CRS (other than (II) below).
- ☐ 2. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification form for each Controlling Persons **).

8 ENTITY SELF-CERTIFICATION FOR FACTA AND CRS (CONTINUED)

2. Non-Financial Institutions under CRS:

If the Entity is a Non-Financial Institution, please tick one of the below categories:

- ☐ 1. Active Non-Financial Entity – a corporation whose stock is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.
- ☐ 2. Active Non-Financial Entity – a Government Entity or Central Bank.
- ☐ 3. Active Non-Financial Entity – an International Organisation.
- ☐ 4. Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE).
- ☐ 5. Passive Non-Financial Entity (If ticked please complete a separate Individual Self-Certification Form for each Controlling Person(s)).

****Controlling Persons:**

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

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

SECTION 6: Declarations and Undertakings

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

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

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

I/we acknowledge that my/our subscription monies/redemption monies/ dividend monies will be paid into the Fund Cash Account. Further, that such monies will be treated as an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the monies will not be held on trust as investor monies for me/us) and that I/we will be an unsecured creditor of the relevant Fund (i) with respect to the amount subscribed for Shares and held in the relevant Fund Cash Account until such Shares are issued to me/us as of the relevant Dealing Day or (ii) with respect to the redemption/dividend amount to be paid and held in the relevant Fund Cash Account until such amount is paid to me/us (whichever is applicable).

I/we acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the "AML Requirements"), redemption/ dividend monies shall not be paid on un-verified accounts. In the event that I/ we fail to submit the necessary documentation requested by the Company or its delegate as required under the AML Requirements, redemption/dividend monies will be held in the relevant Fund Cash Account and shall remain an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditor of the relevant Fund in respect of such redemption/dividend monies until such time as the relevant documentation required by the Company or its delegate has been received to its satisfaction and the redemption /dividend monies have been paid to me/us.

In the event that Shares are allotted/issued notwithstanding that cleared funds have not been received within the usual time limits by the Company as set out in the Prospectus, I/we acknowledge that the Company may cancel the allotment/issue of my/our Shares and I/we will be liable to pay to the Company interest at such rate as may be determined by the Directors from time to time and/or other losses, charges or expenses suffered or incurred by the Company, the Depositary or their delegates as a result of late payment or non-payment by me/us of subscription monies.

9 INDIVIDUAL (CONTROLLING PERSON'S) SELF-CERTIFICATION FOR FACTA AND CRS

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below and provide any additional information requested. In certain circumstances, we may be legally obliged to share this information and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such a request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

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

If any of the information about the investor's tax residence or FATCA/CRS classification changes, please advise of these changes promptly.

Where there are joint or multiple account holders, each investor is required to complete a separate Self-Certification form.

Sections 1, 2, 3 and 5 must be completed by all investors.

Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.

For further guidance see:

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

(Mandatory fields are marked with an*)

SECTION 1: Entity Investor Identification

INVESTOR NAME

COUNTRY OF INCORPORATION OR ORGANISATION

CURRENT REGISTERED ADDRESS*

POSTCODE

COUNTRY

MAILING ADDRESS (IF DIFFERENT FROM ABOVE)

POSTCODE

COUNTRY

PLACE OF BIRTH*

DATE OF BIRTH

DD / MM / YYYY

SECTION 2: FACTA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick either (a) or (b) and complete as appropriate:

- ☐ a. I confirm that [I am]/ [the investor is] a U.S. citizen and/or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identifying number (US TIN) is as follows:
- ☐ b. I confirm that [I am not]/ [the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

SECTION 3: CRS Declaration of Tax Residency (please note you may choose more than one country)

Please indicate your/the investor's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ("TIN"). A TIN is required unless you are tax resident in a Jurisdiction that does not issue a TIN).

COUNTRY OF TAX RESIDENCY

TAX ID NUMBER

9 INDIVIDUAL (CONTROLLING PERSON'S) SELF-CERTIFICATION FOR FACTA AND CRS (CONTINUED)

SECTION 4: Type of Controlling Person

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

For joint or multiple Controlling Persons, please complete a separate Self-Certification form for each Controlling Person.

| Please confirm which type of Controlling Person applicable under CRS 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/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 that the 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 to provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS

Liontrust Global Funds PLC Due Diligence Documentary Requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 (The 'CJA 2010') as amended and updated by The Criminal Justice Act 2013 (The 'CJA 2013').

Guide to completing this form

Part I - This section must be completed by all applicants.

Part II - Please provide the due diligence documentation outlined in this section.

Certification of Documents – Required for High Risk Countries

Certified copies of personal identification documents and corporate documentation are required for certain identified investors. Documents must be a 'certified true copy of original'.

In terms of certifying a document as a true copy, certification means that there is an original signature on the document from a suitable person.

Suitable persons include:

- An authorised signatory of a Regulated Financial Institution or Credit Institution.
- An authorised signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or Practising Solicitor.
- A Practising Chartered or Certified Public Accountant.
- Medical Professional.
- A person authorised to sign on behalf of an Embassy or a Consul.
- A Police Officer.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the original document as seen by the person certifying the document.
- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

Note 1: Where the document, being certified as a true copy of the original document, contains a photograph, the person certifying the document as a true copy should also confirm that this a true likeness of the person named in the document.

Note 2: The document being provided as a true and accurate copy of the original document must include a wet ink signature of the person certifying the document as a true and accurate copy of the original document (i.e. no scanned or photocopied copies of the document being certified as a true copy of the original document, can be accepted).

Note 3: For multiple page documents, the certifier should sign or initial each page of the copy and confirm on the first or last page of the document the actual number of pages in the document.

Note 4: Where available, the statement of certification as a true copy of the sighted original should be accompanied by the professional stamp or seal of the certifier.

Note 5: When certifying documents as true copies, the certifier should not be a close family member of or have any apparent or potential conflicts of interest with, the investor.

English Translations

Where due diligence documents are provided in a language other than English, the prospective investor should, at the same time, provide a relevant extract translated by an independent source and confirming the adequacy of the foreign language documents.

Part I – All Investors

Please tick investor type below (Please note, investor type indicates the documents required to open account):

- | | | |
|---|--|--|
| <input type="checkbox"/> Private / Unlisted Company | <input type="checkbox"/> Charities | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Trusts / Foundations | <input type="checkbox"/> Listed Company | <input type="checkbox"/> Collective Investment Scheme / Fund |
| <input type="checkbox"/> Subsidiary of a Listed Company | <input type="checkbox"/> School, college or university | <input type="checkbox"/> Regulated Credit or Financial Institution |
| <input type="checkbox"/> Pension Schemes | <input type="checkbox"/> Nominee Company | <input type="checkbox"/> Trade Unions |
| <input type="checkbox"/> Government Body or Public Authority | <input type="checkbox"/> Church | <input type="checkbox"/> Individual |
| <input type="checkbox"/> Other (please specify): <input type="text"/> | <input type="checkbox"/> Please confirm whether you are a Politically Exposed Person * | |

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

Due Diligence Documentation – Leverage Across Investments

- I/We hereby authorise the administrator, BNY Mellon Fund Services (Ireland) DAC to leverage the due diligence documentation provided for the purposes of compliance with applicable regulatory requirements across all investments which I/We currently hold/ may hold in the future across all funds which are administered by the Administrator.

Due Diligence Documentation – Ultimate Beneficial Owner

- 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 otherwise exercise control over the management of the entity. The Ultimate Beneficial Owner section must be completed. Non-completion could delay acceptance of subscription.

* In cases where shareholder(s) are entities with over 25% ownership or control, please provide the details of Individual(s) who hold beneficial ownership over 25%.

Please complete the below:

| | | | |
|----------------------|----------------------|----------------------|---|
| SURNAME | | FORENAMES (IN FULL) | |
| <input type="text"/> | | <input type="text"/> | |
| ADDRESS | | | |
| <input type="text"/> | | | |
| <input type="text"/> | | | |
| <input type="text"/> | | POSTCODE | <input type="text"/> |
| % OWNERSHIP | <input type="text"/> | DATE OF BIRTH | <input type="text" value="DD / MM / YYYY"/> |

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

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. ☐

Related Person Detail

Full names of all Related Persons:

- 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 entity, 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.

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |
| 4. | |

* Please add details of any additional Related Persons on a separate piece of paper.

The 4th EU Anti Money Laundering Directive

Confirmation if this investment is non-proprietary: ☐ (by not ticking this box it is presumed investment is proprietary).

Non-proprietary means not registered or protected as a trademark or brand name.

If ticking/selecting non-proprietary above we require regulatory confirmation, under the Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010-2021 or 2010 (as amended) of any natural person(s) who may own 25% or more of the investment / designation.

Insert Name(s)

No person is entitled to 25% or more of this investment / designation: ☐

Please note, by attesting to the above, further information may be required.

Part II – Due Diligence Requirements

Outlined below is guidance on the documentation which the Fund & the Administrator will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk.

The Fund & the 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:

- Current passport.
- Current driving licence.
- Current national identity card.
- Current identification form with the photo signed by a police officer or equivalent.
- Social welfare/revenue card or any identity document with photographic identity issued by a government department.

Examples of Proof of Address:

- Bank statements/credit card statements.
- Utility bill.
- 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: 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).

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Letter of Assurance

Please contact the Administrator for a template Letter of Assurance if required.

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

Deemed High Risk Countries

Afghanistan, Albania, Angola, Azerbaijan, Bahamas, Bangladesh, Belarus, Belize, Benin, Bolivia, Bosnia and Herzegovina, Burma (Myanmar), Burundi, Cape Verde, Central African Republic, Chad, China, Colombia, Comoros, Congo Democratic Republic, Congo Republic, Costa Rica, Cuba, Cyprus, Democratic People's Republic of Korea (North Korea), Dominican Republic, Ecuador, Egypt, El Salvador, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Guatemala, Guinea Bissau, Guinea, Guyana, Haiti, Honduras, India, Iran, Iraq, Ivory Coast (Cote d'Ivoire), Jamaica, Jordan, Kazakhstan, Kyrgyzstan, Laos, Latvia, Lebanon, Liberia, Libya, Liechtenstein, Macau, Maldives, Mali, Mauritania, Mexico, Moldova, Monaco, Montenegro, Morocco, Myanmar (Burma), Nauru, Nicaragua, Nigeria, Pakistan, Palestinian Territories, Panama, Peru, Russia, Saint Kitts and Nevis, Saudi Arabia, Senegal, Serbia, Sierra Leone, Somalia, South Sudan, Sri Lanka, Sudan, Syria, Tajikistan, Tanzania, Trinidad and Tobago, Tunisia, Turkey, Turkmenistan, Uganda, Ukraine, United Arab Emirates, Uzbekistan, Vanuatu, Venezuela, Yemen & Zimbabwe.

Note: The Administrator reviews the risks associated with all locations on a regular basis. The risk associated with a location may change over time. The Administrator reserves the right to apply a different risk rating than shown in this document.

Regulated Credit or Financial Institution

Where the applicant is a Regulated Credit or Financial Institution from one of the above referenced Prescribed Countries:

1. Please provide proof of regulation.

Where the applicant is a Regulated Credit or Financial Institution but is not regulated in a Prescribed Country, please provide the following confirmations / documentation:

1. Full name of the Company.
2. Registered number of the Company.
3. Registered legal address and principal business address of the Company.
4. Details of Directors of the Company.
5. Details of any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
7. One or more of the following:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the certificate of incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

8. Photographic identity document and proof of address for 2 directors of the company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
10. Where the company is investing on behalf of underlying investors, due diligence documentation (by reference to the legal form of the investor) for any Beneficial Owner of the proposed investment.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Nominee Company

Where the applicant is a Regulated Nominee Company of a Credit or Financial Institution from one of the above referenced Prescribed Countries:

1. Please provide proof of regulation.

Where the applicant is an Unregulated Nominee Company of a Regulated Credit or Financial Institution from one of the above referenced Prescribed Countries please provide the following:

1. Letter of Assurance from the Regulated Credit or Financial Institution.
2. Proof of regulation for the Regulated Credit or Financial Institution.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Or

Please provide the following confirmations / documentation:

1. Full name of the Nominee Company.
2. Registered number of the Nominee Company.
3. Registered legal address and principal business address of the Nominee Company.
4. Details of the directors of the Nominee Company.
5. Proof of regulation for the Regulated Parent Company.
6. Identify any beneficial owner of the investment through the Nominee Company.
7. One or more of the following:
 - Extract from the relevant company registry providing details of the Nominee company; and/or
 - Copy of the certificate of incorporation or equivalent of the Nominee Company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the Nominee Company; and/or
 - Copy of the latest audited financial statements of the Nominee Company.

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

8. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the Nominee Company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the Nominee Company.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Listed Company

Where the applicant is a company listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.

1. Please provide proof of listing.

Where the applicant is not a Listed Company on an above referenced regulated financial market please provide the following confirmations/ documentation:

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered legal and principal business address of the company.
5. Details of the directors of the company.
6. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the company.
Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).
7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
8. One or more of the following:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the certificate of incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

9. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
10. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
11. Where the company is investing on behalf of underlying investors due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the proposed investment.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Subsidiary of a Listed Company

Where the applicant is a Subsidiary of a Company listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered legal and principal business address of the subsidiary company.
4. Details of the directors of the subsidiary company.
5. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the subsidiary company.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
7. One or more of the following:
 - Extract from the relevant company registry providing details of the company; and/or
 - Copy of the certificate of incorporation or equivalent of the company; and/or
 - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
 - Copy of the latest audited financial statements of the company.

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

8. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
10. Where the company is investing on behalf of underlying investors, due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the proposed investment.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Government / Public Body

Where the applicant is a Government Body or Public Authority in Ireland:

1. Please provide background information sourced from a reliable source (e.g. copy of the legal instrument establishing the government body/public authority).

Where the applicant is not a Government Body or Public Authority in Ireland, please provide the following confirmations/documentation:

2. Full name of the government body or public authority.
3. Nature and status of the government body or public authority.
4. Registered legal address of the government body or public authority.
5. Details of the home state of the public authority and details of the nature of its relationship with the public authority.
6. Details of the ownership of the public authority.
7. Names of the main officials of the government body or public authority.
8. Appropriate background information on the government body or public authority.

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

1. Photographic identity document and proof of address for 2 officials of the government body or public authority.
2. Copy of the audited financial statements of the government body or public authority.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Pension Scheme

Where the applicant is an Employee/Superannuation or similar scheme in one of the above referenced Prescribed Countries please provide the following confirmations from the trustees of the scheme:

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.

Where the applicant is not an Employee/Superannuation or similar scheme in one of the above referenced Prescribed Countries please provide the following confirmations/documentation:

1. Full name of the pension scheme.
2. Registered legal address of the pension scheme.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

3. One of the following:
 - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.
 - Confirmation of the identity of two Trustees / Directors/Governors/Board Members or equivalent of the pension scheme and the constitutional /formation document of the pension scheme.

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

4. Details of the scheme administrator and the entity carrying out AML/CTF controls on scheme investors.
5. Letter of assurance from the entity carrying out AML/CTF controls on scheme investors.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Collective Investment Scheme

Where the applicant is a Collective Investment Scheme listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.

1. Please provide proof of listing.

Where the applicant is a Collective Investment Scheme regulated as a designated person from one of the above referenced Prescribed Countries:

1. Please provide proof of regulation.

Where the Collective Investment Scheme ('CIS') is not either listed on a regulated financial market (as above) or regulated as a designated person in one of the above referenced Prescribed Countries please provide the following confirmations/documentation:

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent of the CIS.
4. Name and address of the promoter of the CIS.
5. Name and address of the administrator of the CIS.
6. Name and address of the entity carrying out due diligence on the investors in the CIS and confirmation that this entity is regulated for AML purposes.
7. Names of any investors (Beneficial Owners) who own more than 25% of the share capital of the CIS.

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

8. Letter of Assurance from the entity carrying out AML/CTF controls on scheme investors.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the CIS.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

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. One of the following:
 - An additional verification document such as a second photographic identity document or a second proof of address document.
 - Confirmation from a credit or financial institution confirming that the applicant is or has been a customer of that institution.

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

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Private and Unlisted Company

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

1. Full name of the Company.
2. Registered number of the Company.
3. Registered legal address and principal business address of the Company.
4. Details of the directors of the Company.
5. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
6. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the company.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. One of the following:

- Extract from the relevant company registry providing details of the Company; and/or
- Copy of the certificate of incorporation or equivalent of the Company; and/or
- Copy of the Memorandum and Articles of Association or equivalent of the Company; and/or
- Copy of the latest audited financial statements of the Company.

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

8. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the Company.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Limited Liability Company

Where the applicant is a Limited Liability Company (LLC) please provide the following confirmations/ documentation:

1. Full name of the LLC.
2. Registered legal address and principal business address of the LLC.
3. Details of the managing members of the LLC.
4. Photographic identity document and proof of address for 2 managing members or 1 managing member and one authorised signatory of the LLC.
5. Details of any Beneficial Owner of the LLC.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Constitutional document for the LLC (e.g. certificate of incorporation).
7. Operating agreement for the LLC.

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

8. Photographic identity document and proof of address for 2 managing members of the LLC.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the LLC.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Partnership

Where the applicant is a Partnership Fund the following confirmation/documentation should also be provided:

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Details of the partners.
4. Details of the general partner of the Partnership Fund and due diligence documentation for such general partner (by reference to the legal form of such general partner).
5. Photographic identity document and proof of address for 2 partners or one partner and one authorised signatory.
6. Details of any Beneficial Owner of the Partnership.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. Constitutional document for the Partnership (e.g. Partnership Agreement).

Where the applicant is not a Partnership Fund or located in one of the aforementioned deemed high risk jurisdictions, the following documentation should also be provided:

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Details of the partners.
4. Photographic identity document and proof of address for 2 partners or one partner and one authorised signatory.
5. Details of any Beneficial Owner of the Partnership.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Constitutional document for the Partnership (e.g. Partnership Agreement).
7. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the Partnership.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Trust

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

1. Full name of the Trust.
2. Registered address of the Trust.
3. Confirmation of the legal form of the Trust.
4. Trust deed or equivalent or confirmation by reference to an appropriate register.
5. Confirmation of the nature/purpose of the Trust.
6. Confirmation of the trustees of the Trust with proof of regulation for the trustees.
7. Details of any Beneficial Owner of the Trust.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

8. Details of the settlor of the Trust.
9. Details of the protector (where such protector has been appointed) for the Trust.

Where the applicants are not Regulated Trustees investing on behalf of a Trust, the following confirmations/ documentation should be provided:

1. Full name of the Trust.
2. Registered address of the Trust.
3. Confirmation of the legal form of the Trust
4. Trust deed or equivalent for the Trust.
5. Confirmation of the nature/purpose of the Trust.
6. Confirmation of the trustees of the Trust.
7. Photographic identity document and proof of address for 2 trustees or 1 trustee and 1 authorised signatory.
8. Details of any Beneficial Owner of the Trust. Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the Ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).
9. Details of the settlor of the Trust.
10. Photographic identity document and proof of address for the settlor of the Trust.
11. Details of the protector (where such protector has been appointed) for the Trust.
12. Photographic identity document and proof of address for the protector (if any) of the Trust.
13. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable. Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Foundation

Where the applicants are Regulated Trustees investing on behalf of a Foundation, please provide the following confirmations/documentation (only applicable for Trustees not located in a high-risk jurisdiction):

1. Full name of the Foundation or similar entity.
2. Registered address of the Foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents or confirmation of the Foundation by reference to an appropriate register
5. Confirmation of the nature/purpose of the Foundation.
6. Confirmation of the trustees of the Foundation with proof of regulation for the trustees.
7. Details of any Beneficial Owner of the Foundation.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

Where the applicants are not Regulated Trustees investing on behalf of a Foundation or similar entity, the following confirmations/documentation should be provided:

1. Full name of the Foundation.
2. Registered address of the Foundation.
3. Confirmation of the legal form of the Foundation.
4. Trust deed or equivalent for the Foundation.
5. Confirmation of the nature/purpose of the Foundation.
6. Confirmation of the trustees of the Foundation.
7. Photographic identity document and proof of address for 2 directors/ trustees or 1 director/ trustee and 1 authorised signatory.
8. Details of any Beneficial Owner of the Foundation.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

9. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable. Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Charity

Where the applicant is a registered Charity please provide the following confirmations/documentation:

1. Full name of the Charity.
2. Registered legal address and principal business address of the Charity.
3. Confirmation of the nature/purpose of the Charity with details of how the Charity is funded.
4. (As applicable) extract from the relevant charities register (e.g. UK Charities Commission).

Where the applicant is not a registered Charity please provide the following confirmations/documentation:

1. Full name of the Charity.
2. Registered legal address and principal business address of the Charity.
3. Confirmation of the nature/purpose of the Charity with details of how the Charity is funded.
4. Details of the Trustees/Directors/Governors/Board Members of the Charity.
5. Photographic identity document and proof of address for 2 Trustees/Directors/Governors/Board Members of the Charity.
6. Details of the beneficiaries of the Charity.

Note: Where the Beneficial Owner is a corporate entity, the Administrator requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. Constitutional/formation document of the Charity.
8. Audited financial statements for the Charity.
9. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable. Note: Where the applicant is not a registered Charity, documentation provided should be certified as true copies of the original documentation.

Club or Society

Where the applicant is a Club or Society please provide the following confirmations/documentation:

1. Full name of the Club/Society.
2. Registered legal address and principal business address of the Club/Society.
3. Confirmation of the legal status of the Club/Society.
4. Confirmation of the nature/purpose of the Club/Society with details of how the Club/Society is funded.
5. Details of the principal Officers of the Club/Society.
6. Photographic identity document and proof of address for 2 principal Officers of the Club/Society or 1 principal officer and 1 authorised signatory certified as true copies of the original documents.
7. Constitutional/formation document or Audited financial statements for the Club/Society.

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

8. Audited financial statements for the Club/Society.
9. Details of any Beneficial Owner with photographic identity document and proof of address for such Beneficial Owner(s) who own or control over 25% of the entity's share capital, profit or voting rights.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

10 ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS (CONTINUED)

School, College or University

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

1. Full name of the School, College or University.
2. Registered legal address and principal business address of the School, College or University.
3. Background information on the School, College or University and confirmation of the legal status of the School, College or University.
4. Confirmation of the nature/purpose of the School, College or University with details of how the School, College or University is funded.
5. Details of the principal Officers of the School, College or University.
6. Photographic identity document and proof of address for 2 principal Officers or 1 principal office and 1 authorised signatory of the School, College or University.
7. Details of the ownership of the School, College or University including whether the School, College or University is in public or independent ownership. Where independently owned, identify all persons who own or control over 25% of the entity's share capital, profit or voting rights.

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

8. Photographic identity document and proof of address for any Beneficial Owner(s) who own or control over 25% of the entity's share capital, profit or voting rights in line.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Church

Where the applicant is a Church please provide the following confirmations/documentation:

1. Full name of the Church.
2. Registered legal address and 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 source a copy of the revenue approval for the church; or
5. Details of the Trustees/Directors/Governors/Board Members of the Church.
6. Photographic identity document and proof of address for 2 Trustees/Directors/Governors/Board Members of the Church.
7. Details of the beneficiaries of the Church.
8. Constitutional/formation document of the Church.

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

9. Audited financial statements for the Church.
10. Details of any Beneficial Owner with photographic identity document and proof of address for such Beneficial Owner(s).

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

Trade Union

Where the applicant is a Trade Union please provide the following confirmations/documentation:

1. Full name of the Trade Union.
2. Registered legal address and principal business address of the Trade Union.
3. Confirmation of the legal status of the Trade Union including 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. Confirmation of the stated purpose aims and objectives of the Trade Union with also details of how the Trade Union is funded.
5. Details of the Officers of the Trade Union empowered to make investments on behalf of the Trade Union (e.g. president, secretary, treasurer or other senior committee members).
6. Constitutional/formation document of the Trade Union.

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

7. Photographic identity document and proof of address for 2 principal Officers of the Trade Union.

Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.

11 PRESENTATIONS AND WARRANTIES

1. I/We confirm that I am/we are 18 years of age or over.
2. I/We, having received and considered a copy of the current KID, Prospectus, any relevant supplements thereto and the most recent annual and/ or semi-annual report of the Company, 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 Application Form.
3. I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the KID, Prospectus and the relevant Supplements thereto, 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, the relevant Supplements and the most recent annual or semi-annual report (if available) thereto.
4. I/We agree to notify the Company or the Administrator immediately if I/we become aware that any of the representations is no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct, including where appropriate, the redemption of my/ our holding in its entirety. I/We agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
5. I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Company.
6. I/We understand that the tax disclosure set forth in the Prospectus and the relevant Supplements thereto 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.
7. I/We acknowledge the right of the Company at any time to require the mandatory redemption of Shares as provided in the Prospectus and in the relevant Supplements thereto.
8. I am/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans ("ERISA Plans") subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended ("ERISA"), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a "plan" in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively "Qualified Plans"), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.
9. 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 Application Form.
10. 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 and the potential difficulties in selling or transferring my/our Shares for an indefinite period of time. 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.
11. The Administrator and the Company 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. If the instructions are given by me/us by facsimile I/we undertake to confirm them in writing immediately. I/We hereby agree to indemnify each of the Administrator and the Company (on its own behalf and as agent of the Fund) and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon facsimile instructions.

The Administrator and the Company 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.
12. I/We acknowledge that due to anti-money laundering requirements operating within their jurisdiction the Administrator and the Company (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator and the Company 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 required by the parties referred to and has not been provided by me/us or has been provided in incomplete form.
13. I/We request that the Shares issued pursuant to this application are registered in the name(s) and address set out above.
14. I/We hereby accept such lesser number of Shares, if any, that may be specified above in respect of which this application may be accepted.
15. (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.
16. I/We hereby authorise the Company and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Company for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
17. I/We confirm that I/we am/are not a U.S. Person as defined in the Prospectus and I/we am/ are outside the United States and am/are not acquiring Shares on behalf of, or for the benefit of, a U.S. Person nor do I/we intend to sell or transfer any Shares which I/we may purchase to any person who is a U.S. Person.
18. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by either (i) the Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards ("CRS") regulations or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with the FATCA and CRS regulations or the IGA from 1 July 2014.
19. I/We agree to provide to the Company, the Investment Manager, the Administrator and/or the Distributor the necessary FATCA and CRS declarations, 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 and CRS regulations or the IGA, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Investment Manager, the Administrator and/or the Distributor immediately of any such change and further agree to immediately take such action as the Company, the Investment Manager, the Administrator and/or the Distributor may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Investment Manager, the Administrator and/or the Distributor (as applicable). If relevant, I/we agree to notify the Company and the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Investment Manager, the Administrator and/or the Distributor 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 our obligations pursuant to this section or failure to provide such information which has been requested by the Company, the Investment Manager, the Administrator and/or the Distributor and has not been provided by me/us, and 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 Company, the Investment Manager, the Administrator and/or the Distributor. I/ We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and the Custodian are authorised to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we 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. If you do not wish to receive marketing material, please tick the box below.
20. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
21. I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
22. I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.

Please do not send me/us* any further information on other products and services. ☐

12 DATA PROTECTION NOTICE

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

I/We consent to the Company, the Investment Manager sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/We understand that we have a right not to receive such information. 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 such as the "Administrator") acting in its capacity as the [Fund's] administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as a data controller. In connection with this, please note the following: disclosure to the Irish Revenue Commissioners.

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 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 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 as follows:

- to its service providers, including the Administrator, and their affiliates, and other third-party service providers engaged by the Fund in order to process the data for the above-mentioned purposes;
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. The Fund has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Fund.

Retention period

The Fund and the Administrator will retain your personal information for as long as required for the Fund or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information means the Fund may not be able to accept you as an investor in the Fund.

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, please contact us at LiontrustGlobalFunds@bnymellon.com or call +353 1 900 6701.

Signature and declaration


This section must be completed by hand.


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.

* Delete as appropriate (mandatory)

Contact information


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Authorised and regulated by the Financial Conduct Authority
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