

**Fax this completed form to  
Northern Trust International Fund Administration  
Services (Ireland) Limited on +3531 553 9414  
and send hard copy to:**

MAPLE-BROWN ABBOTT FUNDS PLC  
c/o Northern Trust International Fund Administration Services (Ireland) Limited  
Georges Court, 54-62 Townsend Street, Dublin 2, D02 R156, Ireland  
Tel: +353 1 434 5122

**Please complete in CAPITAL LETTERS**

**1. Shareholder registration and address**

**Company / Trustee / Scheme Name / Individual**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Correspondence address:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City \_\_\_\_\_

Country \_\_\_\_\_

Tel \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

**Account Number if existing Shareholder:**

\_\_\_\_\_

**2. Application details for investment**

For the relevant Sub-Fund of the Company in which you would like to invest please indicate your subscription amount or the number of shares you would like to apply for:

**Maple-Brown Abbott Asia – ex Japan Fund**

<b>Share Class:</b>	<b>Amount</b>	<b>No. Shares</b>
<i>Institutional Euro Shares (ISIN:IE00B284YS39)</i>		
<i>Institutional Sterling Shares (Available on request)</i>		
<i>Institutional US Dollar Shares (ISIN:IE00B284YV67)</i>		

Please note the minimum initial subscription amount for the Institutional Classes is USD 1,000,000, subject to the discretion of the Directors.

**Maple-Brown Abbott Asia Pacific – ex Japan Fund**

<b>Share Class:</b>	<b>Amount</b>	<b>No. Shares</b>
<i>Institutional Euro Shares (ISIN:IE00B284YZ06)</i>		
<i>Institutional Sterling Shares (ISIN:IE00B284Z023)</i>		
<i>Institutional US Dollar Shares (Available on request)</i>		
<i>Institutional Singapore Dollar Shares (ISIN: IE00BQWJN968 )</i>		

Please note the minimum initial subscription amount for the Institutional Classes is USD 1,000,000, subject to the discretion of the Directors.

**Maple-Brown Abbott Global Infrastructure Fund**

<b>Share Class:</b>	<b>Amount</b>	<b>No. Shares</b>
<i>Institutional Sterling Shares (ISIN: IE00BYP0WH33)</i>		
<i>Institutional US Dollar Shares (ISIN: IE00BYP0WK61)</i>		
<i>Institutional Euro (hedged) Shares (ISIN: IE00BYP0WL78)</i>		
<i>Institutional Euro Shares (ISIN: IE00BYP0WG26)</i>		
<i>Institutional Canadian Dollar Shares (ISIN: IE00BYP0WJ56)</i>		

Please note the minimum initial subscription amount for the Institutional Classes is USD 1,000,000, subject to the discretion of the Directors.

**3. Bank Account Details**

**Account 1:**

Sub-Fund(s) and Share Class(es) to which Bank Account relates

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

Subscription/redemption payments are payable in the currency of the relevant Class of the Fund (unless otherwise agreed with the Administrator)

If you wish to provide additional Bank Account details, please appendix those Bank Account details to this form, stating which Share Classes the Bank Account(s) relate to.

**Funds being remitted from:**

Bank: \_\_\_\_\_

Address: \_\_\_\_\_

Account Name (name of registered investor)

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

Sort Code: \_\_\_\_\_

Account Number (IBAN or equivalent): \_\_\_\_\_

\_\_\_\_\_

Swift: \_\_\_\_\_

Reference: \_\_\_\_\_

**Redemptions to be remitted to (if different from above):**

Bank: \_\_\_\_\_

Address: \_\_\_\_\_

Account Name (name of registered investor): \_\_\_\_\_

\_\_\_\_\_

Sort Code: \_\_\_\_\_

Account Number (IBAN or equivalent): \_\_\_\_\_

\_\_\_\_\_

Reference: \_\_\_\_\_

Correspondence Bank (if applicable): \_\_\_\_\_

\_\_\_\_\_

Correspondent Swift (if applicable): \_\_\_\_\_

\_\_\_\_\_

**4. Subscription payment details**

Please see attached **Appendix 1** for the appropriate bank details.

**5. Dividends**

Please note that all dividends received by the Company will be reinvested on shareholders' behalf unless specifically requested by telegraphic transfer.

Dividends from the Company

Please can you state whether you require any dividends declared to be paid in:

Cash:  OR Re-invested:

Payment instructions to be remitted to (if different from redemptions):

Bank: \_\_\_\_\_

Address: \_\_\_\_\_

Account Name (name of registered investor): \_\_\_\_\_

\_\_\_\_\_

Sort Code \_\_\_\_\_

Account Number (IBAN or equivalent) \_\_\_\_\_

\_\_\_\_\_

Swift: \_\_\_\_\_

Reference: \_\_\_\_\_

Correspondence Bank (if applicable) \_\_\_\_\_

\_\_\_\_\_

Correspondent Swift (if applicable) \_\_\_\_\_

\_\_\_\_\_

## 6. Due Diligence Information

### Due Diligence Documentary Requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2018.

#### 1. Guide to completing this form.

**Part I** – Purpose of the Investment.

**Part II** - This section must be completed by all applicants.

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

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#### 2. 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 that can be independently verified.

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.
- A person authorised to sign on behalf of an Embassy or a Consul.
- A practicing Barrister

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.

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#### 3. 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 confirming also the adequacy of the foreign language documents.

**Due Diligence Information - Purpose of the Investment**

**Part I to be completed only by natural persons and legal persons investing in their own name for their own benefit. Institutional investors and legal entities investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties are not required to complete Part I. This information is required to meet our AML obligations under the current AML legislation in Ireland and will be used solely for those purposes.**

What is the expected annual subscription to the Fund \_\_\_\_\_

How frequent do you expect to trade in the Fund (please tick):

Once-Off Subscription  Once a Month  Quarter  Year

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

Please indicate the term of your investment (please tick):

3-5 years  5-10 years  10+ years

**Due Diligence Documentation- Investor Type**

**Part I – All Investors**

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

- |   |                          |                                   |                          |
|---|--------------------------|-----------------------------------|--------------------------|
| 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="checkbox"/> |

Occupation/Business Activity

\_\_\_\_\_

If you, or any beneficial owners, are a Politically Exposed Person, **please check the box**

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

**Due Diligence Documentation- Ultimate Beneficial Owner**

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

**Corporate Entities**

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or otherwise exercise control of the entity.

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

Please complete the below:

Name	Address	% Ownership or Control Function	Nationality	Date of Birth

For Trusts or similar arrangements, where the beneficiaries are not yet been determined, the class of persons in whose main interest the trust or similar legal arrangement has been set up should be stated (please provide an additional document/ information as required):

**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.

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

Signature 1 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

Signature 2 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

## Related Person Detail

Full names of all Related Persons:

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

Name	Address	Nationality	Date of Birth

## Due Diligence Documentation- Requirements

### Part II- Due Diligence Requirements

Outlined below is guidance on the documentation which the Fund/ICAV/ Manager & Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk.

**The Fund/ICAV/ Manager & 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.
- 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 3 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 3 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).**

## Letter of Assurance

Please contact Northern Trust for a template letter of assurance if required.

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

### **Equivalent Jurisdictions (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**

Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Croatia, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Guernsey, Hong Kong, Hungary, Iceland, Ireland, Isle of Man, Italy, Japan, Jersey, Lithuania, Luxembourg, Malta, Netherlands (including Aruba), Norway, Poland, Portugal, Republic of Korea, Romania, Singapore, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, United Kingdom (including Gibraltar).

### **Deemed High Risk Countries**

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

**Note: Northern Trust reviews the risks associated with all locations on a regular basis. The risk associated with a location may change over time. Northern Trust 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 Equivalent Jurisdictions:

1. Please provide proof of regulation.

Where the applicant is a Regulated Credit or Financial Institution but is not regulated in an Equivalent 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 and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner of the 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the 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 Equivalent Jurisdictions:**

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 Equivalent Jurisdictions 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.

**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 directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Proof of regulation for the Regulated Parent Company.
6. Identify and verify 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.

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

#### **Listed Company**

1. Please provide proof of listing on a Regulated Market.

**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 directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner of the 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company
10. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the 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**

1. Please provide proof of listing of the parent company on a Regulated Market.

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

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 directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner of the 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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner of the investment.

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

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### **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:**

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered legal address of the government body or public authority.
4. Details of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority.
7. Where the country is deemed medium risk by Northern Trust identify and verify the identity of two officials or, where applicable, one official and one authorised signatory.
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:**

9. Photographic identity document and proof of address for 2 official of the government body or public authority.
10. Certified 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.**

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### **Pension Scheme**

**Where the applicant is an Employee/Superannuation or similar scheme in one of the above referenced Equivalent Jurisdictions 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 Equivalent Jurisdictions please provide the following confirmations/documentation:**

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

3. One of the following:
  - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.  
Or
  - Identity of the controllers (trustees/ directors/ governors /board members or equivalent) of the scheme, Constitutional/Formation Document (e.g. Trust Deed) & appropriate background information e.g. via internet search.

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

4. Identify and verify the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); or
5. Receive written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

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

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### **Collective Investment Scheme**

1. Please provide proof of listing on a regulated financial market.

**Where the applicant is a Collective Investment Scheme regulated as a designated person from one of the above referenced Equivalent Jurisdictions:**

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 Equivalent Jurisdictions 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. Identify and verify the identity of any investors (beneficial owners) in the CIS who own more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; **or** Receive written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

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

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### **Individuals (including Joint Account Holders)**

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

1. Photographic identity document.
2. Proof of address.

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

3. Confirmation of Source of Funds.
4. Confirmation of Source of Wealth.

**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.**

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**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. Identify and verify any beneficial owner beneficially entitled to 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

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

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. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.

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

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**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. Identify all managing members
4. Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.
5. Identify and verify any member beneficially entitled to 25% or more of the entity's share capital or otherwise exercise control over the management of the entity.

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

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. Identify and verify the identity of any member beneficially entitled to more than 10% of the entity's share capital or otherwise exercise control over the management of the entity.

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

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### **Partnership**

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Identify all partners (where practical)
4. Verify the identity of all partners who own 25% or more of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund.
5. Verify the identity of the general partner and a second partner (or in the absence of same an authorised signatory).

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

6. 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:**

7. Identify and verify the identity of at least two partners or, where applicable, one partner and one authorised signatory.
8. Identify and verify the identity of any partners who own more than 10% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust 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 applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **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 trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.
5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor where practicable.
8. Identify and verify the protector.
9. Identify the class of beneficiary or any beneficiary beneficially entitled to 25% or more of the trust's assets. (Verification of the class of beneficiary will only be required where payment is made directly to the beneficiary)
10. Identify and verify the identity of the beneficiaries who hold 25% or more of the beneficial interest where practicable.

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

**Where the applicants are not Regulated Trustees investing on behalf of a Trust, or where the applicant is domiciled in an aforementioned high risk jurisdiction the following confirmations/ documentation should also be provided:**

11. Identify and verify the identity of any partners who own more than 10% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership.
12. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

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

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### **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 equivalent **OR** confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder and where practical and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable. Where the trustee is regulated proof of regulation should be placed on file.
7. Identify any beneficiary beneficially entitled to 25% or more of the foundation's assets.

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

**Where the applicants are not Regulated Trustees investing on behalf of a Foundation or similar entity, or where the applicant is domiciled in an aforementioned high risk jurisdiction the following confirmations/documentation should be provided:**

1. Identify and verify the identity of the founder.
2. Confirmation of the funding of the foundation.
3. Identify and verify the identity of the beneficiaries who hold more than 10% 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.**

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### **Charity**

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

1. Nature/purpose of the charity
2. Nature and source of funding of the charity
3. Registered legal address of the charity & principal business address of the charity.
4. Names of all trustees/directors (or equivalent) of the charity.
5. Identify and verify the identity of the company secretary or equivalent or, where applicable, verify the identity of one of the trustees.
6. (If a charitable trust), details of the settlor of the charitable trust.
7. Names or classes of persons who stand to benefit from the objects of the charity.
8. Complete a check of a relevant charities register or source confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/HMRC/ Guidestar).

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

**Where the applicant is not a registered Charity or where the applicant is domiciled in an aforementioned high risk jurisdiction please provide the following confirmations/documentation:**

9. Certified copies of the audited financial statements.
10. Certified constitutional/ formation document of the charity.
11. Identify and verify the identity of the beneficiaries (where ascertainable) of the charity.
12. Identify and verify the settlor, where applicable.

**Note: Where the applicant is not a registered Charity, documentation provided should be certified as true copies of the original documentation.**

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### **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. Nature/Purpose including the nature of funding of the club/society.
5. Confirmation of the legal status of the club/society.
6. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or complete a check of a relevant register (i.e. FCA or the Mutual Public Register in the UK).
7. List of officers of the club/society.
8. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

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

9. Audited financial statements for the Club/Society.
10. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.
11. Confirmation of the funding of the club or society.

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

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### **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. Obtain names of main officials of the school etc.
6. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.
7. Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights.
8. Identify and verify the settlor, where applicable.

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

9. Identify and verify the identity of all persons who own or control over 10% 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.**

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### **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. Confirmation of a relevant church register or a copy of the revenue approval for the church;
5. Names of all trustees/directors (or equivalent) of the church.
6. Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. Names or classes of persons who stand to benefit from the objects of the church (where ascertainable).
8. Identify and verify the settlor where applicable.
9. Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

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

10. Audited financial statements for the Church.
11. Identify and verify the beneficiaries (where ascertainable)
12. Identify and verify the settlor where applicable.

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

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### **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. Establish whether the trade union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. Consider the legal form of the trade union, its stated purpose, aims and objectives using information from documents supplied for the trade union and through internet searches.
5. Deed or equivalent establishing the existence of the trade union (for example its constitution, bye-laws, rules).
6. Identify all persons and their functions who are empowered to make the investment on behalf of the trade union (president, secretary, treasurer and other senior committee members).

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



## 7. Declarations and confirmations

The undersigned hereby certifies as follows in connection with the initial application for Shares and any subsequent applications:

I. I/We confirm that I/we have received and understood a copy of the Prospectus and any relevant Supplements (the "Prospectus") and the most recent annual and/or semi-annual report of the Fund (if any), current at the date of this application. I/We acknowledge that this application is made solely on the terms of the Prospectus and the material contracts referred to therein together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report, and subject to the provisions of the Company's Memorandum and Articles of Association from time to time in force.

II. I/We hereby represents that I/we have regular access to the internet and consider it to be an appropriate medium for accessing the Key Investor Information Document (KIID). I/We acknowledges that I/we has been offered the choice of receiving the KIID on paper and in electronic form by means of a website and hereby specifically consent to receiving the KIID in electronic form by way of accessing the latest version of the document online at [www.mbafunds.ie](http://www.mbafunds.ie) (or such other website address as may be notified to me/us from time to time). The KIID will be available in the "Key Investor Information" section of the website and I/we hereby confirm that I/we have also been notified electronically of this website address and the place where on the website the KIID can be accessed.

I/We hereby acknowledge that I/we have received or accessed, by electronic means, the KIID. I/We also consent to accessing the KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any share class and/or sub-fund.

III. I/We warrant that I am/we are duly authorised to sign this Application Form and to subscribe for or redeem the Shares in the Company and that by virtue of my/our subscribing for, holding or redeeming Shares in the Company, I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Company, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.

IV. I/We declare that:

- a. this application does not violate any laws or regulations in the country/territory in which I am/we are domiciled;
- b. this application is not made by or for any US Persons (as such expression is defined in the Prospectus).

V. I/We do not intend selling or transferring any Shares which I/we may subscribe for to any Person who is a US Person (as such expressions are defined in the Prospectus).

I/We agree to:

- a. provide the declaration and warranties contained herein to the Company and at such times as the Company may request and provide such certificates, documents or other evidence as the Company may reasonably require to substantiate such representations;
- b. notify the Company immediately if I/we become aware that any of the declarations and warranties contained herein is/are no longer accurate and complete in all respects.

VI. I/We hereby confirm that the Company, the Depositary and the Administrator 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 by facsimile or other electronically approved methods. I/We hereby indemnify the Company, the Depositary and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting upon such facsimile instructions. The Company, the Depositary and the Administrator may rely conclusively upon and shall incur no liability in respect of any transfer, payment or any other action taken or not 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.

In no event shall the Company, the Investment Manager or Administrator be liable to the me/us in contract, tort or otherwise howsoever for any of the following losses or damage (whether such losses or damage were foreseen, foreseeable, known or otherwise) including, without limitation loss of revenue, loss of actual or anticipated profits (including loss of profits on contracts); loss of the use of money; loss of anticipated savings; loss of business; loss of opportunity; loss of goodwill; loss of reputation; wasted management time; loss of, damage to or corruption of data; or any special, indirect, incidental, punitive or consequential loss or damage howsoever caused whether arising out of, or in connection with or in relation to the request from the me/us that the Company or Administrator accept and process the ongoing subscription, redemption and exchange instructions issued by the

me/us in relation to the Company by means of facsimile, automatically generated facsimile and/or electronically generated instructions (i.e., SWIFT, FTP, etc.).

- VII. I/We hereby undertake to observe and be bound by the provisions of the Memorandum and Articles of Association (as amended from time to time) of the Company and apply to be entered in the register of Shareholders as the holder/holders of the Shares issued in relation to this application.
- VIII. I/We hereby acknowledge that the Company, the Depository and the Administrator reserve the right to seek evidence of identity to comply with applicable money laundering regulations. In the case of delay or failure to provide documentation and information as required, no redemption offers shall be processed. 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 monies or dividend monies will be held in the Umbrella 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 monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditors of the relevant fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the Company has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.
- IX. I/We warrant and declare that, to the best of my/our knowledge and belief, the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.

X. Please tick the relevant box;

I/We declare that I am/we or the ultimate beneficiary(ies) are not a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person<sup>1</sup>

I/we declare that I am/we or the ultimate beneficiary(ies) are a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person. Where you have ticked this box you are required to provide the following information:

Name of PEP \_\_\_\_\_

Office of PEP: \_\_\_\_\_

Address of PEP: \_\_\_\_\_

Relationship of Applicant or Applicant's Beneficial Owner to PEP: \_\_\_\_\_

Source of Wealth of the PEP (please give details of how the PEP acquired/generated his/her overall wealth – please tick appropriate box below).

Inheritance  
 Salary  
 Sale of assets (please specify)

Gift  
 Pension  
 Lottery

Sale of Business  
 Investment income  
 Other (please specify)

Further supporting documentation may be requested if deemed necessary to verify the above information.

<sup>1</sup> A politically exposed person is defined as an individual who is, or has been in the preceding two years, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

(a) a specified official;

(b) a member of the administrative, management or supervisory body of a state-owned enterprise;

A "specified official" is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body);

(a) a head of state, head of government, government minister or deputy or assistant government minister;

(b) a member of a parliament;

(c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;

(d) a member of a court of auditors or of the board of a central bank;

(e) an ambassador, charge d'affairs or high ranking officer in the armed forces.

An "immediate family member" includes any spouse, child, parent, brother or sister of a PEP, any person considered to be equivalent to a spouse under the national or other law of the place where the person or PEP resides or any spouse of a child of the PEP.

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

Source of Funds of the PEP (please give details of PEP realised the cash for this investment – **please tick appropriate box below**).

- |  |                                  |   |
|--|----------------------------------|---|
| <input type="checkbox"/> Inheritance                     | <input type="checkbox"/> Gift    | <input type="checkbox"/> Sale of Business       |
| <input type="checkbox"/> Salary                          | <input type="checkbox"/> Pension | <input type="checkbox"/> Investment income      |
| <input type="checkbox"/> Sale of assets (please specify) | <input type="checkbox"/> Lottery | <input type="checkbox"/> Other (please specify) |

Further supporting documentation may be requested if deemed necessary to verify the above information.

- XI. I/we further agree to provide the Company or its appointed Administrator with any additional documentation that it or they may require from time to time in accordance with current anti-money laundering and counter terrorist financing legislation where I/We meet the definition of a politically exposed person or an immediate family member or close associate of such a politically exposed person.
- XII. I/We agree to provide to the Company or its appointed Administrator with any additional documentation that it or they may require to verify my/our identity in accordance with current anti-money laundering legislation. I/We acknowledge that any delay by me/us in providing such documentation may result in delayed processing of my/our application and/or delayed payment of any future redemption payments to me/us or processing of share transfer requests on my/our behalf. I/We understand and accept that the Company reserves the right to compulsorily repurchase and cancel any Shares held by me/us where I/we fail to provide the necessary documentation to allow the Company or the Administrator to comply with their respective obligations under applicable anti-money laundering and counter terrorist financing regulations. I/We hereby hold the Company and the Administrator harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us. I/We also warrant and declare that, to the best of my/our knowledge and belief, the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- XIII. I/We acknowledge that the Company or the Administrator also reserve the right to delay or refuse to make any redemption payment or distribution to me/us without notice if any of the Company or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to me/us might result in a breach or violation of any applicable anti-money laundering or other laws or regulations including financial sanctions laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company or the Administrator with any such laws or regulations in any relevant jurisdiction.
- XIV. I/We hereby indemnify the Company, the Depositary and the Administrator and agree to keep each of them indemnified against any loss accruing as a result of any failure to process this application, if the information required by any of them has not been provided by me/us.
- XV. I/We hereby acknowledge that in the event payment in cleared funds is not received in respect of a subscription by the relevant Settlement Date as outlined in the Prospectus, the Company may cancel the allotment of Shares and impose such charges and remedies as are outlined in the Company's Memorandum and Articles of Association and Prospectus. I/We am/are liable to pay the Company any interest or other charges at such rates as determined by the Directors from time to time and as may be disclosed in the Prospectus and hereby indemnify the Company against any loss of any nature whatsoever arising in the event payment in cleared funds is not received in respect of a subscription by the relevant Settlement Date as outlined in the Prospectus including any interest or charges at such rates as determined by the Directors from time to time.
- XVI. I/We declare that I am/we are over 18 years of age (only relevant to non-corporate investors). I/We confirm that I/we have the legal power, authority and capacity to enter into and sign this Application Form for Shares in the Company and have the authority to make the investment pursuant to this Application Form.
- XVII. (In respect of joint applicants only) we direct that on the death of one of us the Shares for which we hereby apply to be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of such survivor or survivors.
- XVIII. In signing this Application Form, I/We acknowledge that I/We have been made aware of and have read the Data Privacy Statement which provides an outline of my/our data protection rights and the Company's data protection obligations as they relate to my/our investment in the Company, and which is set out at <https://www.maple-brownabbott.com.au/Documents/Policies/MBA-Data-Privacy-Statement.pdf>

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

The Company is a data controller and will hold any personal information provided by me in confidence and in accordance with the General Data Protection Regulation (697/2016/EU) (the "GDPR") and the Data Protection Act 1988 to 2018 (as amended).

## Consent

Your consent is not required to process your personal data for certain purposes, as outlined in the Data Privacy Statement linked above. However, in order to process your personal data for the purposes outlined below, the Company seeks your consent.

Consent to Direct Marketing by or on behalf of the Company

The Company seeks your consent in order to send you information about other sub-funds within the Company by letter, by telephone, by email or by other reasonable means of communication.

**You have a right not to receive such information. If you consent to receive such information and / or marketing material, please tick here and provide your contact details below:**

FIRST NAME: \_\_\_\_\_ LAST NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE NUMBER: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

You have a right to withdraw the consent(s) provided above at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Company by e-mail at [dataprivacy@maple-brownabbott.com.au](mailto:dataprivacy@maple-brownabbott.com.au).

You also have a right to object to the processing of your personal data by the Fund or the Investment Manager or any other entity within its group for direct marketing purposes.

The performance of this contract with the Fund is NOT conditional on your consent to direct marketing.

XVIX. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by either (i) the FATCA 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 regulations or the IGA from 1 July 2014.

Furthermore, I/we hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Company to comply with the above FATCA and CRS obligations, I/we agree to provide to the Company, the Investment Manager and the Administrator the necessary 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 FATCA or CRS, 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 and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Investment Manager and the Administrator may direct, including where appropriate, redemption of my/our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Investment Manager and the Administrator. If relevant, I/we agree to notify 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 and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company, Investment Manager or Administrator 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, Investment Manager or Administrator. 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 are authorized 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, the Investment Manager, the Administrator and the Depositary 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.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included at **Appendix 2**. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Investment Manager and the Administrator immediately of any such change and agree to immediately take such action as the Company, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.

XX. Declaration of Residence outside Ireland

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

*\* Delete (a) or (b) below as appropriate*

**(a)\*** 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 am/we are/the company is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company is not currently Resident in Ireland nor Irish Ordinary Resident, and should I/we/the company become Resident in Ireland I will/we will so inform you, in writing, accordingly.*

**OR**

**(b)\*** Declaration as Intermediary

*I/We declare that I am/we are applying for Shares on behalf of persons:  
who will be beneficially entitled to the Shares; and, who, to the best of my/our knowledge and belief,  
are neither Resident in Ireland nor Irish Ordinary Resident.*

*I/We also declare that:  
unless I/we specifically notify you to the contrary at the time of application, all applications for Shares  
made by me/us from the date of this application will be made on behalf of such persons; and,*

*I/We will inform you in writing if I/we become aware that any person, on whose behalf I/we hold  
shares, becomes Resident in Ireland.*

**Return of Values (Investment Undertakings) Regulations 2013<sup>2</sup>**

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 or ordinarily Irish resident must provide the following additional information:

<b>Tax Identification Number (TIN) / PPS Number</b>	
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**Any one of the following additional documents is required to verify the TIN or PPS Number (either a copy or the original is sufficient)**

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

<sup>2</sup> Only for Irish IUTs

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

*Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the [Company] in accordance with the Data Protection Legislation. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.*

XXI. Umbrella Cash Account

- a. I/we acknowledge that the Company operates a single umbrella cash account in different currencies in its name into which (i) subscription monies received from investors who have subscribed for Shares are deposited and held until Shares are issued as of the relevant Dealing Day; and (ii) redemption monies due to investors who have redeemed Shares are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shareholders are deposited and held until paid to such Shareholders (hereinafter referred to as the "Umbrella Cash Account"). We acknowledge that all subscriptions, redemptions and dividends payable to or from a fund are channelled and managed through the Umbrella Cash Account.
- b. I/we acknowledge that my/our subscription monies/redemption monies/dividend monies will be paid into the Umbrella Cash Account, 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 Umbrella 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 Umbrella Cash Account until such amount is paid to me/us (whichever is applicable).
- c. I/we acknowledge that the following risks arise in relation to the operation of the Umbrella Cash Account:-
  - (i) in the event that subscription monies received and held in the Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor as of the relevant Dealing Day, the Company on behalf of the fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the fund), in which case such loss will need to be discharged out of the assets of the relevant fund and therefore will represent a diminution in the net asset value per share for existing Shareholders of the relevant fund;
  - (ii) in the event that redemption or dividend monies held in the Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to payment to the relevant investor/ Shareholder, the Company on behalf of the fund may be obliged to make good any losses suffered by the investor/Shareholder (in its capacity as a general creditor of the fund), in which case such loss will need to be discharged out of the assets of the relevant fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant fund;
  - (iii) in the event of an insolvency of the relevant fund or the Company, there is no guarantee that the fund or the Company will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a dealing day and which are held in the Umbrella Cash Account and investors/Shareholders due redemption/dividend monies which are held in the Umbrella Cash Account will rank equally with all other unsecured creditors of the relevant fund and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors by the insolvency practitioner. Therefore, in such circumstances, the investor subscribing for Shares may not recover all monies originally paid into the Umbrella Cash Account in relation to the application for Shares and the redeeming investor entitled to redemption monies and the Shareholder entitled to a dividend payment may not recover all monies originally paid into the Umbrella Cash Account for onward transmission to that investor/Shareholder;
  - (iv) in addition, investors should note that in the event of the insolvency of another fund of the Company, recovery of any amounts to which a relevant fund is entitled, but which may have been used by such other insolvent fund as a result of the operation of the Umbrella Cash Account will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Accounts. There may be delays in effecting and/or disputes as to the recovery of such amounts, and the insolvent fund may have insufficient funds to repay the amounts due to the relevant fund.

XXII. Electronic Communication

I/We hereby consent to any relevant Company documentation and notices, including but not limited to notices to Shareholders and the Company's annual and semi-annual accounts (together, the "Documents") being provided to me/us electronically to the email address provided by me/us in the section of this form entitled "Shareholder registration and address" or via a website notified to me/us from time to time by the Company. I/We confirm that I/we shall inform the Company of any changes to my/our email address in the future. I/We acknowledge that receipt by me/us of the Documents electronically constitutes effective receipt of the Documents.

XXIII. Beneficial Ownership Regulations

I/We will comply with such beneficial ownership<sup>3</sup> notices issued by the Company or the Administrator on its behalf seeking beneficial ownership information.

I/We understand that it is an offence where I/we fail to comply with such beneficial ownership notices or where I/we make a false statement in respect of same.

I/We understand that where I am /we are a beneficial owner of the Company, I/we must notify the Company where the Company's beneficial ownership register does not contain my/our details and where I/we have not received a beneficial ownership notice from the Company.

Where I/We meet the definition of a beneficial owner as defined in the Beneficial Ownership Regulations I have completed the table below –

First Name, Surname (if an individual)	
Date of Birth (if an individual)	
Residential Address (if an individual)	
Nationality (if an individual)	
Entity Name	
Entity Address	
Nature of interest held by me/us as a beneficial owner	
Extent of interest held by me/us as a beneficial owner	

<sup>3</sup> The term "beneficial owner" is defined in the EC (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulations 2016 (the "Beneficial Ownership Regulations") as meaning the natural person(s) who ultimately owns or controls the Company through either a direct or indirect ownership of a sufficient percentage of shares or voting rights or ownership interest in that entity. Where a natural person holds more than 25% of the shares of the Company or has an ownership interest of more than 25%, then that shall be an indication of direct ownership by that person. Where a corporate or multiple corporates hold more than 25% of the shares or other ownership interest exceeding 25% in the Company and those holdings are controlled by a natural person that shall be an indication of indirect ownership.

## Authorised signatories (Declarants)

### Signature 1

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

Capacity of Authorised signatory: \_\_\_\_\_

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

---

### Signature 2

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

Capacity of Authorised signatory: \_\_\_\_\_

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

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### Signature 3

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

Capacity of Authorised signatory: \_\_\_\_\_

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

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### Notes

- i) Copies of the Prospectus and the most recently published annual and semi-annual reports of the Company are freely available from the Administrator Georges Court, 54-62 Townsend, Street, Dublin 2, Ireland. The Company is regulated by the Central Bank of Ireland.
- ii) Non-Resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- iii) To be valid, Application Forms (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by each applicant. In the case of joint applicants, each must sign. In the case of a corporation and/or pension scheme, Application Forms should be signed by a duly authorised signatory provided that a certified copy of the authority authorizing the signatory and an authenticated list of signatories accompanies this form.
- iv) If this Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany it.
- v) An "Intermediary" means a person who:  
Carries on a business which consists of, or includes, the receipt of payments, from an investment undertaking resident in the Republic of Ireland, on behalf of other persons; or  
Holds shares in an investment undertaking on behalf of other persons.
- vii) If payment in full in cleared funds for a subscription has not been received by the time for receipt of such monies, or in the event of non-clearance, any allotment of Participating Shares may be cancelled. Notwithstanding cancellation of the application, the Directors may charge the applicant for any expenses incurred by them or the Company for any loss to the Company arising out of such non-receipt or non-clearance.
- viii) No share certificates will be issued.



## Appendix 1

Please find hereafter payment instructions to be used for subscription payments to the **Maple–Brown Abbott Funds** collection account opened at **Northern Trust International Fund Administration Services (Ireland) Limited**.

➤ (\*) Northern Trust cut-off is indicated in Irish time

	For GBP Settlement (International payments)	For EURO Settlement	For USD Settlement	For CAD Settlement
<b>To:</b>	Barclays Bank	Barclays Bank PLC,		Bank of Montreal
<b>Address:</b>	1 Churchill Place, London E14 5HP	Frankfurt		Toronto
<b>Swift Code:</b>	BARCGB22	BARCDEFF		BOFMCAM2
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey  Swift: (CNORUS33)	The Northern Trust International Banking Corporation, New Jersey  Swift: (CNORUS33)	The Northern Trust International Banking Corporation  Swift: (CNORUS33)	The Northern Trust International Banking Corporation, New Jersey  (SWIFT: CNORUS33)
<b>A/C Number:</b>	53529495	0210472800	FedwireABA  026001122  CHIPS ABA: 0112	31441044481
<b>Beneficiary account name &amp; number:</b>	Maple-Brown Abbott Funds P.L.C - 629345-20019	Maple-Brown Abbott Funds P.L.C - 629311-20019	Maple-Brown Abbott Funds P.L.C - 193904-20010	Maple-Brown Abbott Funds P.L.C - 629337-20019
<b>Reference: Register number and/or order number</b>				

	For SGD Settlement
<b>To:</b>	DBS Bank Ltd
<b>Address:</b>	Singapore
<b>Swift Code:</b>	DBSSSGSG
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey Swift: (CNORUS33)
<b>A/C Number:</b>	0370035947
<b>Beneficiary account name &amp; number:</b>	Maple-Brown Abbott Funds P.L.C - 629378-20019
<b>Reference: Register number and/or order number</b>	

**Note:** Currency subscription settlement times

GBP 16:00 GMT

EURO 14:30 GMT

USD 16:00 GMT

SGD 14:30 GMT -1 DAY

CAD 16:00 GMT

## Appendix 2 - Entity Self-Certification for FATCA and CRS

### Instructions for completion and Data Protection notice.

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

(Mandatory fields are marked with an \*)

#### \*Section 1: Account Holder Identification

\*Account holder Name: \_\_\_\_\_ (the "Entity")

\*Country of Incorporation or Organisation: \_\_\_\_\_

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

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### Mailing address (if different from above):

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**\*Section 2: FATCA Declaration:**

Please tick either (a), (b) or (c) below and complete as appropriate.

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

Or

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

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

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

**3.1 Financial Institutions under FATCA:**

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

- i. *Irish Financial Institution or a Partner Jurisdiction Financial Institution*
- ii. *Registered Deemed Compliant Foreign Financial Institution*
- ii. *Participating Foreign Financial Institution*

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

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:**

I.	<p>The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i>. Please provide the sponsor's name and sponsor's <i>GIIN</i> :</p> <p><b>Sponsor's Name:</b> _____</p> <p><b>Sponsor's GIIN:</b>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/></p> <p><i>NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p>
II.	<p><b>The Entity is an Exempt Beneficial Owner,</b></p> <p><i>Please tick and confirm the category of Exempt Beneficial Owner;</i></p> <p><b>Sponsor's Name:</b> _____</p> <p><b>Sponsor's GIIN:</b>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/></p> <p><i>NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p> <ul style="list-style-type: none"> <li>i. Government Entity</li> <li>ii. International Organisation</li> <li>iii. Foreign Central Bank</li> <li>iv. Exempt Retirement Fund</li> <li>v. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners</li> </ul>
III.	<p><b>The Entity is a Certified Deemed Compliant Foreign Financial Institution</b> (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</p> <p><i>Indicate exemption:</i></p>
IV.	<p><b>The Entity is a Non-Participating Foreign Financial Institution</b></p>
V.	<p><b>The Entity is an Excepted Foreign Financial Institution</b> <i>Indicate exemption:</i></p>
VI.	<p><b>The Entity is a Trustee Documented Trust.</b></p> <p><b>Please provide your Trustee's name and GIIN Trustee's Name:</b> _____</p> <p>_____</p> <p><b>Trustee's GIIN:</b>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/>    <input type="text"/> <input type="text"/> <input type="text"/></p>

**3.4. Non-Financial Institutions ("NFFE") under FATCA:**

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

I.	<b>Active (NFFE)</b>
II.	<p><b>Passive (NFFE)</b> <i>(Please tick the box that applies)</i></p> <p>i. <b>Passive (NFFE) with no Controlling Persons that are specified U.S Persons.</b> <input type="checkbox"/></p> <p>ii. <b>Passive (NFFE) with Controlling Persons that are specified U.S Persons.</b> <i>(If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2.</i> <input type="checkbox"/></p>
III.	<b>Excepted (NFFE)</b>
IV.	<p><b>Direct Reporting (NFFE)</b></p> <p><b>Please provide your GIIN:</b></p> <p> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </p>

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

**Please indicate the Entity’s country of tax residence for CRS purposes**, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers (“TIN”). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN’s. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

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

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

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

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

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason C** - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)
- Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**\*Section 5: Entity's CRS Classification**

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

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

For more information please see the OECD CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

**5.1 Financial Institutions under CRS:**

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

**Note:** Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

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

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

**5.2 Non Financial Institution (“NFE”) under CRS:**

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

I.	<b>Active NFE</b> – a corporation the stock of which is regularly traded on an established securities market.  <i>Please provide the name of the established securities market on which the corporation is regularly traded:</i>	
II.	<b>Active NFE</b> – if you are a Related Entity of a regularly traded corporation. <i>Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:</i>  <i>Please provide details of the securities market on which the Entity is regularly traded:</i>	
III.	<b>Active NFE</b> – a Government Entity or Central Bank	
IV.	<b>Active NFE</b> – an International Organisation	
V.	<b>Active NFE</b> – <b>other</b> than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	
VI.	<b>Passive NFE</b> -If this box is ticked please also complete <b>Section 6.1</b> for each of the Controlling Person(s) of the Entity and a separate “ <i>Individual (including Controlling Person’s Self-Certification for FATCA and CRS form</i> ” as indicated in section 6.2 for each Controlling Person(s)	



**Section 6: Controlling Persons**

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

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

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.*

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

**6.1 Controlling Person(s) of the Account Holder:**

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

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

I.	
II.	
III.	

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

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

**\*Section 7: Declarations and Undertakings**

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

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

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

**\*Authorised Signature(s):**

**\*Capacity in which declaration is made**

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**\*Print Name(s)**

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**Date: (dd/mm/yy):**

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## Appendix 3 - Individual (Controlling Person's) Self-Certification for FATCA and CRS

### Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

**Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

(Mandatory fields are marked with an \*)

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

\*Account Holder / Controlling Person Name: \_\_\_\_\_

\*Current Residential Address: \_\_\_\_\_

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### Mailing address (if different from above):

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### \*Place and Date Of Birth

\*Town or City of Birth: \_\_\_\_\_

\*Country of Birth: \_\_\_\_\_

\*Date of Birth: \_\_\_\_\_

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

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

Or

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

**\*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax Residencies)**

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

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal

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

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

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

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

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

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason C** - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN
- Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**Section 4 – Type of Controlling Person**

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

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

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

**\*Section 5: Declaration and Undertakings:**

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

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

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

**Data Protection - Customer Information Notice :**

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

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

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

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

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>  
And on the Irish Revenue website <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

**\*Authorised Signature(s):**

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**\*Print Name(s)**

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

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

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