

**JK FUNDS PLC (the "Company")**  
**Application Form for JK Japan Fund (the "Fund") (Individual)**

<p>This Application Form, which acts as an account opening form, should be read in context of and together with the latest Prospectus of the Company and the Supplement of the Fund (collectively referred to as the "Prospectus"), and the relevant KIID (Key Investor Information Document). Save where otherwise defined in this Application Form, all capitalised terms shall have the same meaning as in the Prospectus. Please note that separate forms are required for subsequent (repeat) subscriptions and redemptions of Shares. These forms can be obtained from the Administrator.</p> <p><b>Instructions:</b>  <b>Please email or fax completed form to Apex (details on right), followed by mailing the originals</b></p>	<p>Mail: <b>JK Japan Fund,</b>  <b>C/O Apex Fund Services (Ireland) Limited</b>  <b>Office 5, Building A1, Fota Business Park,</b>  <b>Carrigtwohill, Co. Cork, Ireland.</b></p> <p>Telephone:           <b>+ 353 21 4633366</b>          Fax:                   <b>+ 353 21 4633377</b>          Email:               <b>corkTA@apexfunds.ie</b></p>
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**1. APPLICANT DETAILS (Please use BLOCK CAPITALS) \***

<input type="checkbox"/> Individual	<input type="checkbox"/> Joint Applicant		
Name(s) of all Applicants (including Joint Applicants):			
Occupation <sup>1</sup>			
Full Residential or Registered Address:			
Correspondence <sup>2</sup> address if different:			
Contact Name:		Tel No:	
Email:		Fax No:	
Send Contract Note by:	<i>(Email, Mail, or Fax)</i>		

\* should there be a need for further requirements or additions please use the space at the end of the form.

<sup>1</sup> Applicable to Individuals only

<sup>2</sup> All regular correspondence will be distributed via email / fax; please contact the Administrator if this causes significant issues for the Applicant.

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2. INVESTMENT DETAILS <sup>3</sup>			
<input type="checkbox"/> US Dollar Ordinary Shares	<input type="checkbox"/> Sterling Ordinary Shares	<input type="checkbox"/> Euro Ordinary Shares	<input type="checkbox"/> Yen Ordinary Shares
<input type="checkbox"/> US Dollar Institutional Shares	<input type="checkbox"/> Sterling Institutional Shares	<input type="checkbox"/> Euro Institutional Shares	<input type="checkbox"/> Yen Institutional Shares
Insert subscription amount in numbers GBP/EUR/USD/JPY:		Insert subscription amount in words:	

Institutional	USD Institutional Shares (I)	GBP Institutional Shares (I)	YEN Institutional Shares (I)	EUR Institutional Shares (I)
Minimum Subscription	USD 1,250,000	GBP 1,000,000	YEN 130,000,000	EUR 1,150,000
Minimum Additional Subscription	USD 125,000	GBP 100,000	YEN 13,000,000	EUR 115,000
Minimum Holding	USD 1,250,000	GBP 1,000,000	YEN 130,000,000	EUR 1,150,000
Ordinary	USD Ordinary Shares (O)	GBP Ordinary Shares (O)	YEN Ordinary Shares (O)	EUR Ordinary Shares (O)
Minimum Subscription	USD 125,000	GBP 100,000	YEN 13,000,000	EUR 115,000
Minimum Additional Subscription	USD 12,500	GBP 10,000	YEN 1,300,000	EUR 11,500
Minimum Holding	USD 125,000	GBP 100,000	YEN 13,000,000	EUR 115,000

<b>For GBP SEND TO:</b>
Intermediary Bank: Barclays Bank PLC, London
Swift: BARCGB22
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey
IBAN: GB64BARC20325353529495
GBP Sort Code: 203253
Beneficiary Account Number: 674564-20019
Beneficiary Name: JK Funds PLC Sub Fund JK Japan Fund
<b>For EUR SEND TO:</b>
Intermediary Bank: Barclays Bank PLC, London
Swift: BARCGB22
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey
Swift: CNORUS33
Beneficiary Account Number: 674549-20019
Beneficiary Name: JK Funds PLC Sub Fund JK Japan Fund

<sup>3</sup> Please tick the share class in the table below for which you are subscribing. Please see the minimum investment amount for each share class indicated in the table.

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<b>For USD SEND TO:</b>
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey
Swift: CNORUS33
Fedwire: 026001122
Beneficiary Account Number: 222919-20010
Beneficiary Name: JK Funds PLC Sub Fund JK Japan Fund
<b>For JPY SEND TO:</b>
Intermediary Bank: Bank of America, NA, Tokyo Branch
Swift: BOFAJPXXXX
Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey
Account Number: 50234015
Swift: CNORUS33
Beneficiary Account Number: 674531-20019
Beneficiary Name: JK Funds PLC Sub Fund JK Japan Fund

**Notes:**

1. Cleared subscription monies to be received one day prior to the Dealing Day.
2. If payment in full in cleared funds is not received by the required day any provisional allotment of shares may be cancelled.

**4. CLIENTS BANK DETAILS<sup>4</sup>**

<b>Intermediary Bank:</b>	
<b>SWIFT Code:</b>	
<b>Bank Name:</b>	
<b>Branch Name:</b>	
<b>IBAN:</b>	
<b>BIC:</b>	
<b>Account Name:</b>	
<b>Account Number:</b>	
<b>Sort Code:</b>	

**Note: No third party payments will be undertaken. A request to change bank account details in future must be made in writing to the administrator, requiring an original signed instruction, and must be accompanied by a bank statement or banker's reference.**

<sup>4</sup> This is in relation for where the sale proceeds are to be sent and those electing for income shares to receive their dividend payments (Please note that if no option is indicated, distribution and dividend payments will be reinvested).

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**5. REPRESENTATIONS, DECLARATIONS AND WARRANTIES**

**I/We represent, warrant and declare that:**

GENERAL	
<p>1. I/we hereby acknowledge as part of this application that I/we have been provided with in good time prior to completing this Application Form and have read and understood the contents of the Prospectus of the Company, applicable Fund Supplement, the memorandum and articles of association of the Company and key investor information document(s) ("KIID(s)") and where available the most recent annual or half-year reports and accounts for the Company applicable to the Fund (the "Fund Documentation") and furthermore that this application is based solely upon the terms thereof, and subject to the provisions of the Company's memorandum and articles of association. I/we acknowledge that I am/we are aware of the potential risks associated with this investment and where appropriate have sought professional advice on matters of taxation and such other consequences applicable to the investment.</p>	<p>2. I/we confirm that I am/ we are 18 years of age or over (<b>delete if you are not a natural person</b>).</p> <p>I am/We are not making this application on behalf of any person under the age of 18 years.</p> <p>3. <b>If you are joint applicants</b> – We direct that, on the death of one of us, the Shares for which we are applying shall be held in the name of and to the order of the survivor(s) or the executor(s) or administrator of the last such survivor (<b>delete if you are not a natural person or you are a sole investor</b>).</p>
<p>4. I/we hereby agree to indemnify and hold harmless the Company, the Administrator, the Depository, the Investment Manager, the Investment Advisor and their respective directors, officers and employees and other Shareholders against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) suffered by them which may result directly or indirectly, from: (i) any misrepresentation or breach of any representation, declaration, warranty, condition covenant, or agreement set forth herein or in any document delivered to by me/us to the Company or the Administrator; (ii) me/us acquiring or holding Shares in the Fund where, by virtue of my / our holding, I am / we are in breach of the laws of any competent jurisdiction; and (iii) the Administrator or the Company acting on an instruction reasonably believed to be genuine in accordance with the declaration at number 5.</p>	<p>5. The Administrator and the Company are each authorised and instructed to accept and execute any instructions in respect of the Shares to which this Application Form relates given by me/us in written form, or by facsimile or email. The Company and the Administrator will not be responsible or liable for the authenticity of instructions received from us or any authorised person and may rely upon any instruction in good faith from any such person representing himself to be a duly authorised person reasonably believed to be genuine.</p>
<p>6. I/we acknowledge that the Administrator will refuse to process a redemption request until the Administrator has received an original of this Application Form and until all required anti-money documentation has been received by the Administrator</p>	<p>7. I/we accept such lesser number of Shares if any, than may be specified above in respect of which this application may be accepted.</p>
<p>8. I/we agree to notify the Company immediately if I/we become aware that any of the representations and declarations made is no longer accurate and complete in all respects. I/we agree immediately either to sell or to tender to the Company for redemption of a sufficient number of Shares to allow the representations to be made again.</p>	<p>9. I/we understand that the confirmations, representations, declarations and warranties made herein are continuing and apply to all subsequent purchases of Shares by me/us in the Fund and I/we agree to provide on request such certifications, documents or other evidence as the Company or the Administrator may reasonably require to substantial such representations. I/we hereby confirm that for any subsequent investments I/we will obtain and read the latest version of the appropriate Fund Documentation prior to each subscription</p>
<p>10. <b>If you are an intermediary:</b> I/we confirm that:</p> <ul style="list-style-type: none"> <li>(i) that evidence of verification has been obtained and recorded in accordance with the laws of the my/our jurisdiction as identified on page 1;</li> <li>(ii) the names of our clients have been compared against the following sanction lists: (a) EU; (b) UN and (c) OFAC;</li> <li>(iii) that all documentary evidence of verification process will be retained for at least 6 years after the client has redeemed in full;</li> <li>(iv) this documentary evidence of verification will be made available on demand; and</li> </ul>	<p>11. <b>Receipt of the KIID by means of a website:</b> I/we represent and acknowledge that:</p> <ul style="list-style-type: none"> <li>(i) I/we have been offered the choice of receiving the Prospectus, Supplement and the KIID on paper and in electronic form by means of a website or by email and hereby specifically consent to receiving the KIID in electronic form by email or by accessing the latest version of the document online at <a href="http://www.jkim.co.uk">www.jkim.co.uk</a> (or such other website as may be notified to me/us from time to time) and acknowledge that I/we shall be deemed to have been provided with an up-to-date KIID by means of the website in good time before any subsequent/future subscriptions.</li> <li>(ii) I/we received or accessed by electronic means the KIID.</li> </ul>

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<p>(v) I will provide such documentary support and comfort letters as may be required pursuant to applicable law on request of the Administrator;</p> <p>(vi) prior to accepting any order for the acquisition of Shares, I/we will ensure that the investor will be provided with the current KIID for the relevant Share Class in the Fund as well as all other Fund documentation identified in the declaration at point 1 above.</p> <p><b>(If you are not an intermediary then please put a line through Part I0)</b></p>	<p>(iii) The KIID shall be reviewed at least every 12 months. I/We agree that I/we will inspect the KIID by accessing the website in good time before making any subsequent and/or future subscriptions for Shares in any Class of the Fund. I/We agree that I/we bear sole responsibility for ensuring that I/we have inspected the up-to-date version of the KIID and that, in any event.</p> <p>12. I/we may at any time request a hard copy of any such documentation from the Fund free of charge and/or revoke, in writing or other authorised manner, the consent given to receive such information electronically or to subscribe or redeem Shares of the Fund electronically.</p>
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**TAXATION**

<p>13. I/we agree to provide to the Company and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require in connection with this investment for the purposes of tax and reporting requirements including those required:</p> <p>(a) under (i) sections 1471 to 1474 of the U.S. Internal Revenue Code of 1986 or any associated regulations, (ii) any treaty, law, regulation or other official guidance of any other jurisdiction, or relating to an intergovernmental agreement between the U.S. and any other jurisdiction, which (in either case) facilitates the implementation of any law or regulation referred to in paragraph (i) above, or (iii) any agreement pursuant to the implementation of any treaty, law or regulation referred to in paragraph (i) or (ii) above with the IRS, the U.S. government or any governmental or tax authority in any other jurisdiction ("FATCA"); and</p> <p>(b) under the OECD Standard for Automatic Exchange of Financial Account Information in Tax Matters, Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU), any guidance or documentation published by the OECD, as applicable, and any domestic legislation, policy, statement, precedent or guidance relating to the implementation of the CRS in Ireland, as applicable, ("CRS").</p> <p>Should any information furnished to any of the Company and the Administrator under (a) and (b) above (the "Tax Information") become inaccurate or incomplete in any way, I/we hereby agree to notify the Company or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company.</p>	<p>14. By providing the Tax Information, I/we represent and warrant the completeness and accuracy of such information (as at the date of submission) and authorise the Company to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. I/we will, on demand, hold the Company harmless from any liability resulting from the my/our failure to provide complete and accurate Tax Information</p> <p>I/we hereby acknowledge that if I/we fail to provide the Tax Information on a timely basis, I/we may be subject to 30% U.S. withholding tax (in respect of FATCA) on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Company.</p> <p>I/we hereby acknowledge that if I/we fail to provide the Tax Information and such failure results in the Company being unable to comply with its obligations under FATCA and CRS, the Company may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/we further acknowledge and agree to indemnify the Company and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Company.</p> <p>I/we hereby acknowledge that under the CRS, the Company and/or the Administrator, as applicable, will be required to share my/our personal data (e.g. name, address, taxpayer identification number, jurisdiction of residence and, in the case of individual investors, place and date of birth) (including financial information with respect to my/our interests in the Shares (e.g. account number, account balance or value at year end and payments made with respect to the account during the calendar year)) with the Irish Revenue Commissioners. The Irish Revenue Commissioners may, in turn, exchange this information with foreign tax authorities (including foreign tax authorities located outside the EEA). Please consult the AEOI (Automatic Exchange of Information) webpage on the Irish Revenue Commissioners' website at <a href="http://www.revenue.ie/en/business/aeoi/index.html">http://www.revenue.ie/en/business/aeoi/index.html</a> for further information in this regard.</p>
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**6. DATA PRIVACY NOTICE**

In accordance with 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) (collectively, "**Data Protection Legislation**"), the Company being the data controller for the purposes of this application to subscribe for Shares in the Company, must provide you with information on how the personal data that you provide as part of your application to subscribe for Shares will be processed.

Where your details are provided to the Company as a consequence of your investment in the Company, then the Company, acting as a data controller may itself (or through a third party such as the Administrator (acting in its capacity as the Company's administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. In connection with this, please note the following:

**A. Contact details**

The Company, as data controller, has appointed the Administrator as a data processor. The Company can be contacted via the Administrator at the following address:

**JK Global Opportunity Fund, a sub-fund of JK Funds Plc**

**Administrator**

**Apex Fund Services (Ireland) Limited**

Apex Fund Services (Ireland) Limited

Office 5, Building A1

Fota Business Park, Carrigtwohill

Co.Cork, Ireland

Tel: +353 21 4633366

Email: [corkTA@apexfunds.ie](mailto:corkTA@apexfunds.ie)

**B. Purposes of processing and legal basis for processing**

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares may be processed by the Company or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

*Performance of the contract*

- (a) to facilitate the opening of your account with the Company, the management and administration of your holdings in the Company and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract with the Company, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- (b) to update and maintain records and fee calculation;
- (c) circulating periodic reports relating to the Company.

*Compliance with a legal obligation*

- (a) in order to carry out anti-money laundering checks and related actions which the Company considers appropriate to meet any legal obligations imposed on the Company relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) to report tax related information to tax authorities in order to comply with a legal obligation.

*Pursuing the legitimate interests of the Company including:*

- (a) in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) carrying out statistical analysis and market research;
- (c) recording, maintaining, storing and using recordings of telephone calls that you make to and receive from the Company, the Administrator, or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and

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- prosecution, (iv) to enforce or defend the Company and its affiliates' rights itself or in order to comply with any legal obligation imposed on the Company, (v) to pursue the Company's legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- (d) to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery;
  - (e) to disclose information to other third parties such as service providers of the Company, auditors, regulatory authorities and technology providers;
  - (f) to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company will no longer process the personal data unless the Company can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

*Consent*

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes of direct marketing, the Company seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

**C. Consent to Direct Marketing**

From time to time, one or more of the Company and/or its delegates (which may include, without limitation, the Administrator and the Investment Manager) may send you information about other products and services that they offer 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**

You have a right to withdraw this consent 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 c/o the Administrator at the address above. You also have a right to object to the processing of your personal data for direct marketing purposes.

**D. Profiling and Screening**

The Company and its appointed data processors engage in OFAC and politically exposed person screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

**E. Disclosures to Data Processors and / or Third Parties**

The Company may disclose your personal information as follows:

- (a) to third parties identified in the Prospectus and to entities that are companies within the same group of companies as such third parties in order to process the data for the above mentioned purposes. These third parties will handle your information in accordance with applicable Data Protection Legislation;
- (b) to other third parties such as the auditors to the Company or agents of the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
- (c) to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

**F. Transfers Abroad**

The disclosure of personal information to the third parties set out above may involve the transfer of data to jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the GDPR. Such countries may not have the same data protection laws as your jurisdiction. The Company has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred.

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### G. Retention period

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

### H. Your data protection rights

Please note that you have the following rights under the GDPR in relation to your personal information. In each case, the exercise of these rights is subject to the provisions of the GDPR:

- (a) You have a right of access to and the right to amend and rectify your personal data.
- (b) You have the right to have any incomplete personal data completed.
- (c) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Company infringes the GDPR.
- (d) You have a right to request that your personal information is erased (in certain specific circumstances).
- (e) You have a right to restrict processing (in certain specific circumstances).
- (f) You have a right to data portability (in certain specific circumstances).
- (g) You also have the right to object to processing where personal data is being processed for marketing purposes and also where the Company is processing personal data for legitimate interests.

### I. Failure to provide personal data

The provision by you of personal data, as outlined in the section above titled "Purposes of processing and legal basis for processing" is required for us to accept your subscription application and manage and administer your holdings in the Company and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided within the specified timeframe we may be required to discontinue our business relationship with you.

### J. Other Data Controllers - Depositary

SMT Trustee (Ireland) Limited (the "**Depositary**") shall be a separate controller of the personal data as defined under the Data Protection Legislation (the "**Personal Data**") of Shareholders, applicants for Shares, beneficial owners, directors and officers of Shareholders and applicants for Shares which it obtains as a result of its contracts with the Company:

- (i) to the extent that it is necessary for it to comply with its own obligations under anti-money laundering legislation (on the basis of its legal obligations); and
- (iii) in the case of the Depositary, in the discharge of its statutory oversight and monitoring obligations (on the basis of its legal obligations).

The Depositary may share the Personal Data with its delegates and agents. Where those delegates are located outside the EEA or a third country in respect of which the European Commission has not issued a finding of adequacy with regard to data protection, appropriate model clauses will be implemented. The Personal Data will be held by the Depositary in accordance with anti-money laundering legislation as relevant. In general, the Depositary will hold Personal Data which it has in the discharge of its statutory oversight and monitoring obligations for a period of seven years, unless it is obliged to hold it for a longer period under law or applicable regulations or otherwise.

The rights which you have in relation to your Personal Data as described above will apply directly in respect of the Depositary to the extent that it acts as data controller.

If you have any questions about the Depositary's use of your personal information or wish to discuss your data protection rights, please contact [privacy@sumitrustgas.com](mailto:privacy@sumitrustgas.com).



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**7. ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS**

**FOR INDIVIDUALS AND JOINT INVESTORS:**

Supply in respect of ALL Applicants:

- Certified** copy of passport / driving license or other acceptable form of identification.
  
- One (under 3 months) **original or certified** form of address verification. These can be a utility bill (other than a mobile phone bill) or a bank statement.

**IMPORTANT CERTIFICATION REQUIREMENTS FOR ALL APPLICANTS**

**All documents must be certified as true copies of the original - photocopies are not acceptable**

**Certification Requirements:**

- **Who can certify:** All of the above copies can be certified by any of the following: Garda Siochana/ Police Officer, Practising Chartered & Certified Public Accountants, Notaries Public / Practising solicitors, Embassy/Consular Staff, Director Officer or Manager of a Regulated financial or credit institutions, Justice of the peace, Commissioner for oaths and Medical professional.
- **The certified must include the following data:** certifiers signature, print their full name, date of certification, details of the certifier's position or the capacity in which they are signing, include the name of the regulating body of the certifier if applicable (ACCA, CPA, Law Society etc) and adequate information so they can be contacted in event of a query.
- Please use the following wording:- for **Photo ID** : "I have seen the original document and certify that this is a complete and accurate copy and the photography contained in the document bears a true likeness to the person named in the document." For address verification, please use : "I have seen the original document and certify that this is a complete and accurate copy of the original."

**8. FATCA/CRS (INDIVIDUAL SELF-CERTIFICATION FORM)**

**Individual (/Controlling Person) 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.**

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***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)

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

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

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason B** - 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 required the collection of the TIN issued by such country/jurisdiction)

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

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

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

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

**Data Protection - Customer Information Notice :**

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

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

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

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

Further information is available on the OECD website; <http://oecd.org/tax/automatic-exchange/>

And on the Irish Revenue website - <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

\*Authorised Signature;

\*Print Name;

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

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**13. SIGNATURE AND DECLARATION**

By signing here, the Applicant is applying for Shares in the Fund on the terms of the Prospectus and this Application Form.

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

I / We agree that the representations set forth above are continuous and will be deemed to be repeated in connection with all further purchases of Shares. I / We further agree to advise the Fund promptly of any violations of the representations set forth herein.

I / We declare that I / we will promptly notify the Company and the Administrator of any changes in the information, documentation or representations provided and in particular, any changes in the information or documentation provided in relation to AML/CFT.

I / We declare that I am authorised to sign this Application Form on my/our own behalf or on behalf of the intermediary, agent or nominee (if applicable) and to make the representations and give the indemnities referred to herein.

In the case of Individual Applicants, simply sign the top line; in the case of Joint Applicants all applicants must sign.

Name of Authorised Signatory	Title	Signature	Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Thank you**