

FUNDROCK UCITS PLATFORM I ICAV

BOSTON PARTNERS GLOBAL LONG/SHORT (UCITS) FUND

(THE “FUND”)

APPLICATION FORM

Registered Office:

c/o Apex Fund Services (Ireland) Limited
2nd Floor
Irish Life Centre
Abbey Street Lower
Dublin
D01 P767
Ireland

1. INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Your application (this “**Application**”) to invest in the ICAV should be made by sending this Application Form (the “**Application Form**”) to the details noted on the cover page.

Apex Fund Service (Ireland) Limited (the “**Administrator**”), acting on behalf of FundRock UCITS Platform I ICAV (the “**ICAV**”), must receive a completed Application Form for each initial subscription together with relevant anti-money laundering documents*.

Applicants (the “**Applicants**”) must read the ICAV’s Prospectus (the “**Prospectus**”), relevant Supplement, the relevant Key Investor Information Document and / or the relevant Packaged Retail and Insurance-Based Investment Products Key Information Document (each, a “**KIID**”) before completing this Application Form.

This Application Form is the property of the ICAV and may not be tampered with or amended without the consent of the ICAV. Any breach of the foregoing may render the Application Form void.

Please enter all details using block capitals.

| Sections requiring completion (dependent on Applicant type): | Pages(s) |
|--|-----------------|
| Applicant Details | 5 |
| Investment Advisor / Intermediary Details (if applicable) | 6 |
| Investment Details | 7 |
| Source of Funds (Individual/Joint holders only) | 9 |
| Investor Bank Details (unless provided separately) | 10 |
| Declaration of Residence outside of Ireland | 15 |
| Return of Values Regulations 2013 (Irish residents only) | 19 |
| FATCA / CRS Classification / Self-Certification** | 21-29 |
| Signature | 34 |
| Schedule 1: AML CDD Requirements | 36-46 |
| Schedule 2: Customer Information Notice – Common Reporting Standards | 47 |
| Schedule 3: Data Privacy Statement | 49 |

***Anti-money laundering documentation requirements are outlined in Schedule 1.**

**** If FATCA / CRS certification has been previously provided to the Administrator in respect of your investment in a Fund, this information will not be required again unless the data previously supplied is no longer accurate.**

2. GENERAL INFORMATION

The ICAV reserves the right to reject any application in whole or in part, without giving any reason for such rejection in which event any application moneys will be returned without interest, expenses or compensation by transfer to the Applicant's designated bank account at the risk of the Applicant.

If the amount paid does not correspond to a specific number of Shares, the ICAV will issue such number of Shares, calculated to two decimal places, as may be subscribed for with the Application moneys and will not return any remainder to the Applicant.

CONTRACT NOTES

It is anticipated that contract notes will normally be sent to Applicants as soon as possible, and no later than the first business day following trade execution. Please ensure that appropriate email contact details are provided to the Administrator.

IMPORTANT: It is the responsibility of the Applicant to check the accuracy of information provided to you in any confirmation of ownership, any valuation statements and other reports issued by, or on behalf of, the ICAV. You should contact the Administrator immediately in the event that you believe the information to be incorrect. It will be assumed that you have received contract notes and that the details contained therein are correct unless you contact the Administrator within 24 hours of the date of issue. The ICAV's liability and ability to change contract notes will be restricted after this time, however, the ICAV reserves the right to correct errors at any time and will endeavour to ensure errors are corrected.

SUBSCRIPTIONS

Where permitted by the ICAV, subsequent subscription applications may be submitted by way of email to apexta@apexgroup.com.

Please also refer to the terms of the Prospectus and relevant Supplement for further information on how to subscribe for Shares.

REDEMPTIONS

Redemption requests may be submitted by way of email to apexta@apexgroup.com prior to the Trade Cut-Off Time for any Dealing Day as set out in the Prospectus and/or relevant Supplement.

No redemption payment will be made from an investor holding until cleared funds have been received in respect of the original subscription for Shares by the Administrator on behalf of the ICAV together with the original subscription application form and all documentation required by or on behalf of the ICAV (including any documents in connection with anti-money laundering procedures) and the anti-money laundering procedures have been completed. Failure to comply with the above will result in redemption proceeds not being paid.

Please also refer to the terms of the Prospectus and relevant Supplement for further information on how to redeem your Shares.

EMAIL DEALING

By choosing to send dealing instructions via email you acknowledge the limitations on the reliability of delivery, timeliness and are aware that email may not be a secure means of communication. The ICAV, the Directors, the Manager and the Administrator will not be responsible for any loss or damage that could result from your requests not being accepted, confirmed or processed or as a result of your e-

mails being intercepted by third parties. Successful receipt of all trade instructions should be confirmed with the Administrator either via email to apexta@apexgroup.com or by telephone at +353 1 567 9247.

DISTRIBUTIONS

The ICAV may pay distributions to Shareholders in accordance with the Dividend Policy as disclosed in the Prospectus and relevant Supplement.

QUERIES

All queries regarding the completion of the Application Form should be addressed to the ICAV c/o the Administrator and specifying the name of the Fund to which the query relates. The Administrator can be contacted by telephone at +353 1 567 9247 or email to apexta@apexgroup.com.

Terms defined in the Prospectus have the same meaning in this Application Form.

3. **APPLICANT DETAILS**

The Applicant Name(s) will be the registered name as reflected on the ICAV's Share register.

| |
|------------------------|
| Applicant Name: |
|------------------------|

| |
|---|
| Applicant Name 2 (Joint Holder): |
|---|

All communications will be delivered to the correspondence details of the first named shareholder

Applicant 1

| |
|---------------------------|
| REGISTERED ADDRESS |
|---------------------------|

| |
|------------------------|
| Street Address: |
|------------------------|

| |
|---------------------|
| Town / City: |
|---------------------|

| |
|------------------|
| Postcode: |
|------------------|

| |
|----------------|
| Country |
|----------------|

Applicant 2

| |
|---------------------------|
| REGISTERED ADDRESS |
|---------------------------|

| |
|------------------------|
| Street Address: |
|------------------------|

| |
|---------------------|
| Town / City: |
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| Postcode: |
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| Country: |
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|-------------------------------|
| CORRESPONDENCE DETAILS |
|-------------------------------|

| |
|------------------------|
| Street Address: |
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| |
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| Town / City: |
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| Postcode: |
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| |
|-----------------|
| Country: |
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| |
|-------------------|
| Telephone: |
|-------------------|

| |
|-------------|
| Fax: |
|-------------|

| |
|---------------------------|
| Email Address(es): |
|---------------------------|

| |
|---|
| PLEASE TICK THE FOLLOWING BOX IF YOU WOULD LIKE YOUR ADVISOR / INTERMEDIARY TO RECEIVE COPIES OF ALL REPORTING RELATING TO YOUR ACCOUNT <input type="checkbox"/> |
|---|

4. INVESTMENT ADVISOR / INTERMEDIARY DETAILS

| | |
|--------------------------------------|--|
| Name of Advisor/Intermediary: | |
| Company Registration Number: | |
| Is the Company Regulated? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| Regulator Name: | |

| | |
|-------------------------------|--|
| CORRESPONDENCE DETAILS | |
| Street Address: | |
| Town / City: | |
| Postcode: | |
| Country: | |
| Telephone: | |
| Fax: | |
| Email Address(es): | |

5. INVESTMENT DETAILS

BOSTON PARTNERS GLOBAL LONG/SHORT (UCITS) FUND

| Fund / Class Name | Investor Type | Income / Accumulating | Initial Offer Price | Minimum Initial Investment Amount[†] | ISIN | Investment Amount* |
|--------------------------|----------------------|------------------------------|------------------------------|--|--|---------------------------|
| Class R | Non-Institutional | Accumulating | 100 USD, EUR, GBP, CHF | 10,000 USD, EUR, GBP, CHF | IE00085VD 5N0 IE00050PQ5 48 IE000LP7P A82 IE000GG1Y E82 | USD EUR GBP CHF |
| Class I | Institutional | Accumulating | 100 USD, EUR, GBP, CHF | 500,000 USD, EUR, GBP, CHF | IE000NZLX 4O3 IE000LPLF4 23 IE000RDP8 605 IE0007ZYD FA3 | USD EUR GBP CHF |
| Class E | Early Bird | Accumulating | 100 USD, EUR, GBP, CHF | 100,000 USD, EUR, GBP, CHF | IE000BZXD B85 IE000PATQ WR0 IE000UQET 4A9 IE000898DI Z1 | USD EUR GBP CHF |
| Class M | Management | Accumulating | 100 USD, EUR, GBP, CHF | 1,000,000 USD, EUR, GBP, CHF | IE000H46G 908 IE000NOA KGX0 IE000FJ57P H3 IE000WTM O745 | USD EUR GBP CHF |

*The Directors reserve the right, in respect of the Fund, to vary the Minimum Initial Investment Amount in the future and may choose to waive or reduce these amounts, provided that the exercise of this right will be carried out having regard to the Central Bank's requirement to treat Shareholders in a Class of Shares equally and fairly.

6. SOURCE OF FUNDS

For all subscriptions on behalf of individual investors please confirm the origin of the money subscribed into the Fund using the options below

| | | | |
|--------------------------|--------------------------|-------------------------------------|--------------------------|
| Savings | <input type="checkbox"/> | Proceeds of Sale | <input type="checkbox"/> |
| Employment Income | <input type="checkbox"/> | Gift or Inheritance | <input type="checkbox"/> |
| Company Profits | <input type="checkbox"/> | Other (Please specify below) | <input type="checkbox"/> |
| Other details | | | |

| | |
|-----------------------------------|--|
| Occupation of Applicant(s) | |
|-----------------------------------|--|

The ICAV and the Administrator reserve the right to request additional documents, as necessary, to verify the identity, residency and source of funds/wealth of Applicant(s).

SHARES WILL NOT BE ISSUED UNTIL SUCH TIME AS THE ADMINISTRATOR HAS RECEIVED AND IS SATISFIED WITH ALL THE INFORMATION AND DOCUMENTATION REQUESTED TO VERIFY AN INVESTOR'S IDENTITY AND SOURCE OF FUNDS/WEALTH. REDEMPTIONS WILL NOT BE PROCESSED ON NON-CLEARED/VERIFIED ACCOUNTS.

7. INVESTOR BANK DETAILS

All Redemption / Distribution proceeds will be paid to the account details below. No third party payments will be made.

Redemption proceeds will be paid in the currency of denomination of the relevant Share Class. Please ensure that the bank details provided below are able to receive payments in the relevant currency.

| | |
|---|--|
| Bank Name: | |
| Bank Address: | |
| BIC/SWIFT: | |
| Sort Code: | |
| IBAN: | |
| Account Number: | |
| Account Name: | |
| | |
| Intermediary/Correspondent Bank: | |
| BIC/SWIFT: | |

Subscription monies must come from an account in the name of the registered investor, the details of which must be verified by the Administrator. If the bank details to be used for transferring subscription monies are different from those listed above please provide the details below.

| | |
|--|--|
| | |
|--|--|

PLEASE BE ADVISED THAT ANY AMENDMENT TO THE DETAILS PROVIDED ABOVE WILL REQUIRE VERIFICATION BY THE ADMINISTRATOR PRIOR TO ACCEPTANCE.

For Individuals/Joint holders the following are required prior to accepting the new details:

New/Amended Redemption bank details: A signed instruction confirming the bank details change including the reason for the change AND an original/certified copy of a bank statement for the new details dated within the previous 6 months.

New/Amended Subscription bank details only: Written confirmation of the bank details change including the reason for the change AND a copy of a bank statement for the new details dated within the previous 6 months.

8. INVESTMENT SETTLEMENT DETAILS

Listed below are the bank details to which your money should be settled in full by wire transfer. The Applicant's bank must be instructed at the time of application to forward the appropriate remittance by the fastest available means to reach the bank account listed below no later than the settlement date quoted in the relevant supplement. Payment, net of charges, should be sent to:

| FOR USD INVESTMENTS | |
|--------------------------------|--|
| Beneficiary Bank: | The Northern Trust International Banking Corporation, New Jersey |
| SWIFT: | CNORUS33 |
| Account Name: | FundRock UCITS Platform I ICAV - Boston Partners Global Long/Short (UCITS) Fund 314518-20010 |
| Reference: | (add applicable reference information –e.g. Subscription and Value Date) |
| Fedwire ABA: | 026001122 |
| Chips ABA: | 026001122 |
| FOR EUR INVESTMENTS | |
| Beneficiary Bank: | The Northern Trust International Banking Corporation, New Jersey |
| SWIFT: | CNORUS33 |
| Account Name: | FundRock UCITS Platform I ICAV - Boston Partners Global Long/Short (UCITS) Fund 638775-20019 |
| Account Number: | 0210472800 |
| Reference: | (add applicable reference information –e.g. Subscription and Value Date) |
| Intermediary Bank Name: | Barclays Bank PLC, Frankfurt |
| Intermediary SWIFT: | BARCDEFF |
| FOR GBP INVESTMENTS | |
| Beneficiary Bank: | The Northern Trust International Banking Corporation, New Jersey |
| SWIFT: | CNORUS33 |
| Account Name: | FundRock UCITS Platform I ICAV - Boston Partners Global Long/Short (UCITS) Fund 638783-20019 |

| | |
|--------------------------------|--|
| GBP Sort Code: | 203253 |
| Account Number: | 203253 |
| Reference: | (add applicable reference information - e.g Subscription & Value Date) |
| Intermediary Bank Name: | Barclays Bank PLC, London |
| Intermediary SWIFT: | BARCGB22 |
| FOR CHF INVESTMENTS | |
| Beneficiary Bank: | The Northern Trust International Banking Corporation, New Jersey |
| SWIFT: | CNORUS33 |
| IBAN: | CH100483509849903301 0 |
| Beneficiary | FundRock UCITS Platform I ICAV - Boston Partners Global Long/Short (UCITS) Fund 638791-20019 |
| Reference: | (add applicable reference information - e.g Subscription & Value Date) |
| Intermediary Bank Name: | Credit Suisse AG, Zurich |
| Intermediary SWIFT: | CRESCHZZ80A |

9. **DECLARATION OF RESIDENCE OUTSIDE OF 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.

| | |
|---|------------------------------------|
| Please tick one | |
| <input type="checkbox"/> | DECLARATION ON OWN BEHALF |
| <p>I/we* declare that I am/we are* applying for the shares on my own/our own behalf/on behalf of a company* and that I am/we are/the company is entitled to the shares in respect of which this declaration is made and that:</p> <p><input type="checkbox"/> I am/we are/the company is* not currently resident or ordinarily resident in Ireland, and</p> <p><input type="checkbox"/> Should I/we/the company* become resident in Ireland I/we* will so inform the ICAV, in writing, accordingly.</p> <p>* Delete as appropriate</p> | |
| <input type="checkbox"/> | DECLARATION AS INTERMEDIARY |
| <p>I/we* declare that I am/we are* applying for shares on behalf of persons:</p> <p><input type="checkbox"/> who will be beneficially entitled to the shares; and</p> <p><input type="checkbox"/> who, to the best of my/our* knowledge and belief, are neither resident nor ordinarily resident in Ireland.</p> <p>I/we* also declare that:</p> <p><input type="checkbox"/> unless I/we* specifically notify you to the contrary at the time of application, each application for shares made by me/us* from the date of this application will be made on behalf of such persons; and</p> <p><input type="checkbox"/> I/we* will inform you in writing if I/we* become aware that any person on whose behalf I/we* hold(s) shares, becomes resident in Ireland.</p> <p>* Delete as appropriate</p> | |

IMPORTANT NOTES

1. Declarations of Residence outside of Ireland are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Declaration of Residence outside of Ireland must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Applicant is a company, it must be executed under seal or signed by duly authorised signatories
3. If the Declaration of Residence outside of Ireland is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. If the Applicant is an Exempt Irish Investor it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.
5. Definitions of an “Intermediary” and the concepts of “Residence in Ireland” and “Ordinary Residence in Ireland” are set out on the next page.

| | |
|--------------------|--|
| Date: _____ | |
| Signed: | Capacity of authorized signatory (if applicable): |
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |
| 4. _____ | _____ |

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

10. DEFINITIONS RELATING TO THE DECLARATION OF RESIDENCE

Intermediary

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 State on behalf of other persons;
- holds units in an investment undertaking on behalf of other persons.

Residence

Residence - Individual

An individual will be regarded as being resident in Ireland for a tax year if he/she is present in Ireland:

1. for a period of at least 183 days in that tax year; or
2. for a period of at least 280 days in any two consecutive tax years, provided that the individual is present in Ireland for at least 31 days in each period.

In determining days present in Ireland, an individual is deemed to be present if he/she is in Ireland at any time during the day.

Residence - Company

A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where: -

1. the company or a related company carries on a trade in Ireland, and either the company is ultimately controlled by persons resident in a Member State of the EU or countries with which Ireland has a double taxation treaty, or the company or a related company are quoted companies on a Recognised Exchange in the EU or in a treaty country under a double taxation treaty; or
2. the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country.

The exemption in 1 above, does not apply where it would result in an Irish incorporated company that is managed and controlled in a relevant territory (other than Ireland), but would not be resident in that relevant territory as it is not incorporated there, not being resident for tax purposes in any territory.

The Finance Act 2014 (of Ireland) amended the above residency rules for companies incorporated on or after 1 January 2015. These new residency rules will ensure that companies incorporated in Ireland and also companies not so incorporated but that are managed and controlled in Ireland, will be tax resident in Ireland except to the extent that the company in question is, by virtue of a double taxation treaty between Ireland and another country, regarded as resident in a territory other than Ireland (and thus not resident in Ireland). For companies incorporated before this date these new rules will not come into effect until 1 January 2021 (except in limited circumstances).

It should be noted that the determination of a company’s residence for tax purposes can be complex in certain cases and potential investors are referred to the specific legislative provisions that are contained in Section 23A of the Taxes Consolidation Act, 1997 (of Ireland), as amended.

Ordinary Residence - Individual

The term “ordinary residence” as distinct from “residence”, relates to a person’s normal pattern of life and denotes residence in a place with some degree of continuity.

An individual who has been resident in Ireland for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in Ireland ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in Ireland in the tax year 1 January 2011 to 31 December 2011 and departs from Ireland in that tax year will remain ordinarily resident up to the end of the tax year in 1 January 2014 to 31 December 2014.

11. RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) of Ireland (the “**RoV Regulations**”) requires certain Irish investment undertakings to make annual returns to the Irish Revenue Commissioners of the value, in a tax year, of the investments held by certain unit holders.

In order to satisfy the RoV Regulations, the ICAV must collect the following additional information from any Applicants¹ which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the RoV Regulations):

| | |
|--|--|
| Tax Reference Number (TRN) / PPS Number² | |
|--|--|

Furthermore, the RoV Regulations require the ICAV to seek appropriate documentation from the Applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient:

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

In addition, any printed documentation issued by the Irish Revenue Commissioners or by the Department of Social Protection which contains your name, address and TRN 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 ICAV in accordance with the Data Protection Acts 1988 to 2018. In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. Your information provided herein will be

¹ Where the Applicant is an intermediary and that Applicant will be or is, as applicable, the registered Shareholder, reporting obligations under the RoV Regulations may be carried out on the basis that the intermediary is the Shareholder. For these purposes, intermediary has the same meaning as in Section 739B (1) of the Taxes Consolidation Act, 1997 of Ireland, as amended, (the “**Taxes Act**”).

² A PPS Number is required if the relevant Applicant is an individual.

processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.

12. FATCA / CRS CERTIFICATION

Please read these instructions before completing the relevant form.

Irish tax regulations require us to collect information about each investor's tax residence status. If you have any questions about your tax residency, please contact your tax advisor. For further information please refer to the Irish Revenue website or the OECD website per the below links:

1. <https://www.revenue.ie/en/companies-and-charities/documents/aeoi/fatca-intergovernmental-agreement.pdf> and <https://www.revenue.ie/en/tax-professionals/tdm/income-tax-capital-gains-tax-corporation-tax/part-38/38-03-22.pdf>; and
2. <http://www.oecd.org/tax/automatic-exchange/>

Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

We shall treat the information on this form as valid and correct unless we are informed of a change in circumstances relating to the account holder's tax status or other fields included on this form.

Individual investors must complete the Individual Self-Certification form and any investor which is a corporate entity, other form of legal entity or a partnership should complete the Entity Self-Certification form.

Please note that where there are joint account holders each investor is required to complete a separate self-certification form.

13. **INDIVIDUAL SELF-CERTIFICATION**

All individuals must complete Sections 1, 2 and 4 in **BLOCK CAPITALS**. Section 3 should be completed only if you are completing the form as a **Controlling Person of an Entity**.

| SECTION 1: INVESTOR / CONTROLLING PERSON IDENTIFICATION | | | |
|--|--|-----------------------|--|
| Investor / Controlling Person Name: | | | |
| Place of Birth (town or city): | | | |
| Country of Birth: | | Date of Birth: | |

| | | | |
|---|--|--|--|
| Residential Address: | | | |
| House Name / Number: | | | |
| Street: | | | |
| City, Town, State, Province or County: | | | |
| Postal Code: | | | |
| Country | | | |

| | | | |
|---|--|--|--|
| Mailing address (if different from above): | | | |
| House Name / Number: | | | |
| Street: | | | |
| City, Town, State, Province or County: | | | |
| Postal Code: | | | |
| Country: | | | |

| SECTION 2: DECLARATION OF TAX RESIDENCY |
|--|
|--|

Please indicate all countries in which you are resident for tax purposes and the associated tax reference numbers in the table below. If you are a US citizen or resident in the United States

for tax purposes, please include the United States in this table along with your US Tax Identification Number.

| Country of Tax Residency (and citizenship if U.S.) | Tax ID Number/TIN |
|--|-------------------|
| | |
| | |
| | |
| | |
| | |

SECTION 3: CONTROLLING PERSON TYPE

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

Tick as appropriate:

| | |
|--|--|
| 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 4: 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 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 where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature:

Capacity in which Declaration is made:

Date:

14. ENTITY SELF-CERTIFICATION

Please complete all sections in BLOCK CAPITALS.

| SECTION 1: INVESTOR IDENTIFICATION | |
|------------------------------------|--|
| Investor Name (the "Entity"): | |
| Country of Incorporation: | |

| | |
|--|--|
| Registered Address: | |
| Number: | |
| Street: | |
| City, Town, State, Province or County: | |
| Postal Code: | |
| Country | |

| | |
|--|--|
| Mailing address (if different from above): | |
| Number: | |
| Street: | |
| City, Town, State, Province or County: | |
| Postal Code: | |
| Country: | |

SECTION 2: DECLARATION OF TAX RESIDENCY

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's Taxpayer Identification Number (TIN) for each country indicated.

| Country of Tax Residency | Tax ID Number/TIN |
|--------------------------|-------------------|
| | |
| | |
| | |
| | |
| | |

SECTION 3: U.S. PERSONS

Please tick one box only in this section. If you are non-U.S. tax resident proceed to Section 4.

| | | |
|---|--------------------------|------------------------------------|
| The Entity is a Specified U.S. Person | <input type="checkbox"/> | (if selected proceed to Section 5) |
| The Entity is a U.S. person but not a Specified U.S. person | <input type="checkbox"/> | (if selected proceed to Section 5) |

SECTION 4: FATCA CLASSIFICATION (Non-U.S. Persons)

(i) If the Entity is a Financial Institution please tick one of the below categories, and provide the entity's Global Intermediary Identification number (GIIN), if applicable.

| | |
|---|--------------------------|
| Irish Financial Institution or a Partner Jurisdiction Financial Institution | <input type="checkbox"/> |
| Registered Deemed Compliant Foreign Financial Institution (FFI) | <input type="checkbox"/> |
| Participating Foreign Financial Institution | <input type="checkbox"/> |
| Non-Participating Foreign Financial Institution | <input type="checkbox"/> |
| Exempt Beneficial Owner | <input type="checkbox"/> |
| Deemed Compliant Foreign Financial Institution (FFI) | <input type="checkbox"/> |
| Excepted Foreign Financial Institution | <input type="checkbox"/> |

| | |
|---|--|
| Please provide the Global Intermediary Identification number (GIIN) | |
|---|--|

(ii) If the Entity is not a Financial Institution please confirm the Entity's FATCA status by ticking one of the boxes below.

| | |
|--|--|
| Active Non-Financial Foreign Entity (incl Excepted Non-Financial Foreign Entity) | |
| Passive Non-Financial Entity (if selected Section 6 must be completed) | |

SECTION 5: COMMON REPORTING STANDARD (CRS) CLASSIFICATION

All entities MUST complete this section. Please tick only one box in this section

| | |
|---|--|
| Financial Institution (this includes Non-Reporting Financial Institutions) | |
| A professionally managed Investment Entity outside of a CRS Participating Jurisdiction (if selected Section 6 must be completed) | |
| Active Non-Financial Entity: | |
| (i) a corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation | |
| (ii) a Government Entity | |
| (iii) an International Organisation | |
| (iv) Active Non-Financial Entity – other than (i)-(iii) | |

SECTION 5: COMMON REPORTING STANDARD (CRS) CLASSIFICATION (CONTINUED)

| | |
|---|--|
| Passive Non-Financial Entity (if selected Section 6 must be completed) | |
|---|--|

SECTION 6: CONTROLLING PERSONS

Please indicate the name of any controlling person(s) of the account holder and provide an individual self-cert for each controlling person(s).

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SECTION 7: DECLARATION AND UNDERTAKINGS

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

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

Authorised Signature(s):

Capacity in which Declaration is made:

Date:

15. DISCLOSURE STATEMENTS

1. I/We acknowledge that Shares in the ICAV are issued in the name(s) and address set out above in registered form. Proof of title is evidenced by reference to the Share register.
2. I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, and that I/we am/are not acting on behalf of a US Person(s) or for the beneficial interest of a US Person(s), nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person, and will promptly notify the Administrator if I/we should become a US person. I/We agree to substantiate the foregoing representation upon request to the satisfaction of the ICAV.
3. I/We warrant that I/we have the right and authority to make the investment contemplated by this Application Form, whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of the Prospectus, Supplement, and/or any laws or regulations of any relevant jurisdiction.
4. I/We hereby confirm that the ICAV, the Directors, the Manager and the Administrator acting on behalf of the ICAV, are each authorised and instructed to accept and execute any subsequent instructions in respect of the Shares to which this Application relates given by me/us in written form, by facsimile and / or electronic dealing facilities where applicable and in the case of joint account holders which are given by such means jointly by the applicants (“**Instructions**”). I/We acknowledge that facsimile instructions and / or electronic dealing facilities may not be a secure means of communication, and are aware of the risks involved. I/We hereby indemnify the ICAV, the Directors, the Manager 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 my/our Instructions. The ICAV, the Directors, the Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, Instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons.
5. I/We understand that the tax disclosures set forth in the Prospectus are of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
6. I am not/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans (“**ERISA Plans**”) subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended (“**ERISA**”), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a “**plan**” in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively “**Qualified Plans**”), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.
7. I/We hereby undertake to observe and be bound by the provisions of the Prospectus and any supplement applicable to the Fund in which I/we invest and the Instrument of Incorporation of the ICAV and apply to be entered in the register of Shareholders as the registered holder/holders of the Shares issued in relation to this application.
8. I/We hereby acknowledge that the Prospectus and KIID in issue for the relevant Fund or Class may, at the discretion of the Directors, be provided by means of a website or by electronic delivery (which includes email delivery to the email address set out herein or as otherwise agreed with the Administrator from time to time) and that a paper copy will be provided free of charge on request. I/We agree that the ICAV has offered the choice of receipt of the Prospectus and relevant KIIDs by way of a website or by electronic delivery or in paper format and unless I request a paper copy, I/we agree that the Prospectus and relevant KIIDs may be provided by way of electronic delivery. I/We further acknowledge that the ICAV is required to provide the relevant KIIDs prior to each subsequent subscription for or conversion of Shares in the relevant Class or other Classes in other Funds. I/ we hereby acknowledge that I/we have received or accessed by electronic means, the KIID in good time prior to making any application for shares and that I/we have read same. I/we also consent to accessing the KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any Class and/or Fund.
9. I/We acknowledge that the ICAV, the Administrator acting on behalf of the ICAV and any delegate may require certain customer due diligence documentation in order to comply with all anti-money laundering and counter financing of terrorism regulatory and legislative requirements in force in Ireland which would include but are not limited to proof of identity of the Applicant and beneficial owner (where applicable), address and source of wealth and source of funds before processing applications and redemption requests, and the ICAV and/or the Administrator and its delegate shall be held harmless and indemnified against any loss occurring due to the failure to process this application or make a redemption or distribution if such information as has been required by the parties hereto has not been provided by me/us within the timescales provided or has been provided in incomplete form and we acknowledge that the ICAV, the Administrator acting on behalf of the ICAV and any delegate may take such steps as each considers appropriate or necessary to discontinue the relationship with an investor where required to do so under applicable law and regulation.
10. I/We shall provide the ICAV with any additional information and documentation which it may reasonably request in connection with tax or anti-money laundering and counter financing of terrorism or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/We authorise the ICAV or its delegates to disclose such information relating to this Application to such persons as they consider appropriate.
11. I/We acknowledge and agree that, where I/we fail to meet any of the ICAV’s verification and identification policies as applied from time to time in the ICAV’s compliance with all applicable anti-money laundering and counter financing of terrorism laws and regulations imposed upon me/us, the Administrator, after notification to the Directors where relevant, may suspend any dealings on the account in respect of my/our holding in the ICAV until I/we comply with such applicable verification and identification standards.
12. I/We hereby acknowledge that I/we have read and fully considered and understood the Prospectus, the relevant Supplement and the relevant KIID in connection with this Application for Shares in the ICAV and the most recent Annual Report and Accounts of the ICAV and (if issued after such report and accounts) its most recent Unaudited Semi-Annual Report and that I/we have evaluated my/our investment in the ICAV in the light of my/our financial condition and resources. I/We confirm that I/we am/are aware of the risks involved in investing in the ICAV and that an inherent risk in this investment is the potential to lose all of my/our investment. I/We hereby further acknowledge that I/we am/are applying for Shares on the basis of the Prospectus, the relevant Supplement and the relevant KIID and that I/we have not relied on any representations or statements made or information provided by or on behalf of the ICAV other than information contained in the Prospectus, the relevant Supplement and the relevant KIID.

13. I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application/transfer may be accepted.
14. (In respect of Joint applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) or the estate of the last remaining survivor. I/We acknowledge and agree that in the event of the death of one or more of us the Administrator will require further documentation in relation to any proposed change of name or authority to act in respect of the Shares for which we hereby apply including without limitation a copy of the relevant Death Certificate, Grant of Probate or copy of a valid will.
15. I/We acknowledge that our personal information will be handled by the Administrator (as Data Processor on behalf of the ICAV) in accordance with the Data Protection Acts 1988 to 2018. My/our information will be processed for the purposes of carrying out the services of Administrator, registrar and transfer agent of and on behalf of the ICAV and to comply with legal obligations including such obligations under law and anti-money laundering and counter financing of terrorism legislation. The ICAV or the Administrator, acting on behalf of the ICAV, will disclose my/our information to third parties where necessary. This may include disclosure to third parties such as auditors, the Irish Revenue Commissioners and the Central Bank of Ireland or other relevant authorities and agents of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements. I/We hereby consent to the processing of my/our information. This may include the recording of telephone calls with the Administrator for the purpose of confirming data, and the disclosure of his/her information as outlined above and to the Investment Manager and where necessary or in the ICAV's or the Administrator's legitimate interests, to any ICAV in the Administrator's and/or the Investment Manager's group of companies or agents of the Administrator, including companies situated in countries outside of the European Economic Area. These countries may not have the same data protection laws as in Ireland.
16. I/We hereby represent that I/we and the persons we represent as agent or nominee or our beneficial owners or persons who control us or are controlled by us is/are not a prohibited country, territory, individual or entity listed on any EU Sanctions list, a foreign shell bank or a senior foreign political figure or an immediate family member or close associate of a senior foreign political figure and subscription monies are not directly or indirectly derived from activities that may contravene Irish or international laws and regulations, including anti-money laundering laws and regulations.
17. I/We agree to indemnify and hold harmless the ICAV, the Investment Manager, the Manager, the Administrator, the Depository, the Distributor and their respective directors, officers, employees, and agents against any loss, liability, cost or expense (including without limitation legal fees, taxes and interest) that may result directly or indirectly, from any breach of any representation, warranty, condition, covenant or agreement contained herein or in any other document delivered by me/us to the ICAV, the Investment Manager, the Manager, the Administrator, the Custodian or Distributor. Each of the indemnified parties referred to in this undertaking is an intended third party beneficiary of this undertaking. In the case of delay or failure to provide satisfactory information, each of the ICAV, the Manager or Administrator, may take such action (including declining to accept an application) as they think fit.
18. I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
19. I/We acknowledge that the ICAV reserves the right to reject any application in whole or part without assigning any reason therefore.
20. I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent subscriptions of Shares by me/us in the ICAV.
21. I/We understand and agree that in normal circumstances any redemption proceeds will only be paid to a bank account from which the subscription money has been remitted from and held in my/our name with a recognised financial institution. I/We acknowledge that if I/We request the Administrator to pay redemption proceeds to an account or bank the details of which differ from those held on file I/we understand that payment cannot be effected until such time as the relevant documentation as specified by the Administrator regarding the change is forwarded by me.
22. I/We acknowledge that the ICAV reserves the right to cancel without notice any contract for which payment has not been received by the relevant settlement date and to recover any losses incurred.
23. I/We understand that while an initial Application will be actioned upon receipt of a fax or via email, (or in such format or method as shall be agreed in writing in advance with the Administrator) I/we undertake to confirm this by forwarding an original copy of the completed application form used on initial subscription. I/We acknowledge that redemption proceeds may not be paid out until the original of the application form used on initial subscription together with all documentation required by the ICAV and the Administrator, including all documentation required for anti-money laundering purposes has been received by the Administrator.
24. I/We hereby acknowledge that any notice, information or document may be served by the ICAV on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000 as amended, if I have provided an email address or fax number to the ICAV or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or email address previously identified to the ICAV or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I am/we are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the ICAV in writing at the above address provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the ICAV of written notice of such revocation.
25. I/We acknowledge the restrictions on dealing as disclosed in the Prospectus and relevant Supplement and the right of the ICAV to act at its discretion in order to protect the ICAV from market timing, excessive trading or other activity which it believes is harmful to the ICAV.
26. If any of the foregoing representation, warranties or covenants ceases to be true or if the ICAV, Manager and /or Administrator no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the ICAV, Manager and /or Administrator may be obliged to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the ICAV or the Manager, and the ICAV, Manager and /or Administrator may also be required to report such action and disclose my/our identity to a relevant authority. In the event that the ICAV, Manager and /or Administrator is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the ICAV, the Manager, the Investment Manager, the Administrator and their respective affiliates, directors, officers, members, partners, employees, shareholders and agents from any damages as a result of any of the aforementioned actions.

27. I/We agree to provide these confirmations to the ICAV at such times as the ICAV may request, and to provide on request such certifications, documents or other evidence as the ICAV may require to substantiate such representations to the satisfaction of the ICAV.
28. I/We agree to notify the ICAV immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to have redeemed or to tender to the ICAV for redemption all of my / our Shares.
29. I/We acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by either (i) the Foreign Account Tax Compliance Act (“**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 (iii) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (the “**Standard**”) and, specifically, the Common Reporting Standard (“**CRS**”) therein; or (iv) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (including, without limitation, the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2014/107/EU (amending Council Directive 2011/16/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein.

16. ANTI-MONEY LAUNDERING

We require detailed verification of each Applicant's and investor's identity for anti-money laundering purposes, in accordance with the Criminal Justice (Money Laundering & Terrorist Financing) Act 2010 as amended and any related guidance issued by the Central Bank of Ireland.

The information in Schedule 1 will provide you with the minimum requirements for different types of Applicants, for example individuals and corporate entities. It is strongly recommended that you contact the Administrator for full list of identification / verification documents before you send the instructions to place a subscription.

The ICAV reserves the right to request any further documentation it requires to satisfy its obligations under anti-money laundering procedures or legislation.

17. **SIGNATURE**

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

I/We* declare that I/we* have read and fully understand all terms, representations, and conditions in this Application Form.

(* delete as applicable).

| | |
|---|--|
| Applicant / Authorised Signatory Name: | |
| Capacity of Authorised Signatory (if applicable) | |
| Signature: | |
| Date: | |

| | |
|---|--|
| Applicant / Authorised Signatory Name: | |
| Capacity of Authorised Signatory (if applicable) | |
| Signature: | |
| Date: | |

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|---|--|
| Applicant / Authorised Signatory Name: | |
| Capacity of Authorised Signatory (if applicable) | |
| Signature: | |
| Date: | |

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|---|--|
| Applicant / Authorised Signatory Name: | |
| Capacity of Authorised Signatory (if applicable) | |
| Signature: | |

| | |
|--------------|--|
| Date: | |
|--------------|--|

IMPORTANT:

To be valid, Application Forms must be signed by each Applicant and received by the Administrator. In the case of a legal entity, Application Forms should be executed under seal or signed by duly authorised signatories provided that a copy of the authorised signatories list together with sample signatures and details of any signing protocol accompanies the Application Form. If this Application Form is signed under power of attorney such power of attorney or a copy thereof must accompany it. The right is reserved to reject any Application Form in whole or in part or to seek such further information as the ICAV may require to satisfy itself in regard to the identity and legal capacity of any Applicant.

SCHEDULE 1

AML CDD REQUIREMENTS

In order to comply with anti-money laundering legislation the Fund (or the Administrator on behalf of the Fund) is required to obtain identity verification documents from each subscriber.

Below is a list of anti-money laundering documentation to be provided by investors and is provided as a guide outlining simplified and standard due diligence requirements. Please note that the AML reviews are carried out on a risk based approach and depending on the risk category of your investment, additional AML documentation may be required. The administrator will confirm customer due diligence documentation requirements at account opening stage.

Where the investor is deemed to be High Risk, we may require additional documentation in addition to Original Certified true copies of all documents.

Section 1. Simplified Due Diligence

A subscriber qualifies for simplified due diligence from General Identification Requirements when one of the following conditions is met **and** the subscriber's subscription proceeds have originated from an "Approved Country"²

A. Regulated Financial Institution:

Where the subscriber is a Regulated Financial Institution regulated by an "Approved Regulator"³ or is a 100% owned subsidiary of such an entity;

- I. Documentation Requirements for entities investing on their own behalf:
 - Own behalf declaration confirming investing on own behalf (Appendix 1)
 - Proof of regulation
 - Copy of the Commercial Register/Certificate of Good Standing
 - Copy of the authorised signatory list with specimen signatures on company letterhead
 - Copy of the Structure chart or shareholders chart, including the % ownership and control
 - UBO Declaration identifying individuals owning/controlling 25% or more (As set out in appendix 2 of this section)
- II. Requirements for Regulated Entities investing on behalf of a third Party in addition to point (I):
 - Declaration confirming investing on behalf of a third party (Appendix 1)
 - AML Comfort Letter - please revert to Appendix 3 for the Apex template
 - *In some instances a Wolfsberg Questionnaire may be required

B. Nominees:

Where a subscriber is a nominee account with a Regulated Parent:

- I. Documentation Requirements:
 - Proof of regulation in a low risk Jurisdiction
 - AML Comfort Letter - please revert to Appendix 3 for the Apex template
 - *In some instances a Wolfsberg Questionnaire may be required
 - Copy of the authorised signatory list with specimen signatures on

² Please refer to the administrator for confirmation of approved countries

³ Please refer to the administrator for confirmation of approved regulators

- company letterhead
- Copy signatories' ID where they have signed the application form & will place the orders
- Copy of the Structure chart or shareholders chart, including the % of ownership and controlling
- UBO Declaration identifying individuals owning/controlling 25% or more (As set out in appendix 2 of this section)

C. Listed Entities + Subsidiaries of Listed Entities:

Where the subscriber is quoted or listed on an "Approved Market"⁴ or Stock Exchange or is a 100% owned subsidiary of such an entity;

- I. Documentation Requirements:
 - Confirmation that investing on own behalf (Appendix 1)
 - Proof of listing in a low risk jurisdiction
 - Copy of the authorised signatory list with specimen signatures on company letterhead
 - Copy signatories' ID where they have signed the application form & will place the orders
 - Copy of commercial register/Certificate of good standing
 - Copy of the Structure chart or shareholders chart, including the % of ownership and controlling
 - UBO Declaration identifying individuals owning/controlling 25% or more (As set out in appendix 2 of this section)

- II. For subsidiaries and in addition to point (I):
 - Attach proof of listed parent ownership
 - Copy of certificate of incorporation or equivalent for subsidiary
 - Copy of memorandum and articles of association or equivalent constitutional documents for subsidiary

⁴ Please refer to the administrator for confirmation of approved stock exchanges

D. Regulated Pension Scheme:

Where the subscriber is a Regulated Pension Scheme in a low risk Jurisdiction; or where the entity is a state pension scheme in a low risk jurisdiction.

Where information is available online from a reputable source, please provide all of the relevant links at account opening stage.

I. Documentation Requirements:

- Proof of regulation in a low risk jurisdiction
- Copy of the articles of the pension scheme *where available from a reputable online source, please provide the link to same*
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of the Structure chart or shareholders chart, including the % of ownership and controlling
- UBO Declaration identifying individuals owning/controlling 25% or more (As set out in appendix 2 of this section)
- Copy ID and Proof of address for any person owning/controlling 25% or more of the investment

Section 2. General Identification Requirements: Standard Due Diligence

A. Entities:

Where a subscriber is an entity that is domiciled/incorporated in an “Approved Country”⁵ **and** the subscriber’s subscription proceeds originate from an “Approved Country” **ALL** the following information and identification documentation must be forwarded with the subscription application;

Corporate Entities (General):

I. Documentation Requirements:

- Confirmation investing on own behalf
- Copy of Certificate of Incorporation /Good Standing
- Copy of Memorandum and Articles of Association or equivalent constitutional documents
- Copy of the latest financial report or equivalent (If not available, copies of IDs and Proof of address for two directors may be required along with a letter confirming that the company is financially solvent)
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of the signatories' IDs who signed the application form & will place orders
- Copy of the list of Directors/Members/Partners on letterhead paper of the Company
- Copy ID for at least 2 controllers (where a partnership - one of these must be the GP)
- Copy of the Structure chart or shareholders chart, including the % of ownership
- Complete “UBO Declaration” (Appendix 2) on behalf of the Entity – See Appendix 2

**The declaration must be completed by an authorized individual from the Entity and on Entities letterhead.*

- i. If there is a UBO with 25% or more shareholding the person must be identified as per section 2 (B)
- ii. In the case of an Entity, where the Managing Member is not an individual, the

⁵ Please refer to the administrator for confirmation of approved countries

entity must also be identified as per requirements in Section 2 (A).

Trusts:

II. Documentation Requirements:

- Copy of the latest trust deed
- Copy Signature List on company letterhead
- Copy of the IDs of the signatories on the application form/who will place deals on the account
- Identification and verification of the identity of the Settlor and the Trustee according to their legal forms
- Identification and verification of the identity of the Protector if any, according to its legal forms
- Information on the Source of Wealth of the Settlor
- Copy Structure Chart/Shareholder Chart, showing the % ownership and control of all beneficial owners and controllers
- UBO Declaration - Identifying all individuals owning or controlling any part of the trust if not available within the trust deed/structure chart
- Copy ID and proof of address (dated within the last 6 months) for any persons owning or controlling any part of the trust

B. Individuals:

Where a subscriber is an Individual from an “Approved Country”⁶ **and** where the subscriber’s subscription proceeds originate from an “Approved Country”⁷. All the following information and identification documentation must be forwarded with the subscription application;

I. Information Requirements:

- Full Legal Name
- Date of Birth
- Place of Birth
- Residential Address, (including Country of Residence)
- Nationality
- Government ID Number
- Source of Wealth
- Signature

II. Documentation Requirements:

- Copy of a valid ID document (passport /driver’s license or other form of Government issued photo identification) bearing clear picture, expiry date and signature
- Copy proof of residential address dated within the last six months, in the form of household utility bill or bank statement
- Completed source of wealth declaration (please contact Administrator for the relevant template)

⁶ Please refer to the administrator for confirmation of approved countries

⁷ Please refer to the administrator for confirmation of approved countries

APPENDIX 1
OWN BEHALF DECLARATION

"Company Letterhead"

{Date}

Apex Fund Services (Ireland) Limited,

2nd Floor, Block 5
Irish Life Centre
Abbey Street Lower
Dublin D01 P767
Ireland

Subject: Declaration of the investment on own behalf/ third party behalf

Investor Name: _____

Fund: _____

Dear Sirs,

We declare that investments made in the above mentioned Fund are made

- on my/our own behalf
- on behalf of our client(s)

Printed name of the investor/authorised signatory

Signature _____

APPENDIX 2

ULTIMATE BENEFICIAL OWNER DECLARATION

[Place on the Applicant’s letterhead]

[Date]⁸

Apex Fund Services (Ireland) Limited (“Apex”)
2nd Floor, Block 5
Irish Life Centre
Abbey Street Lower
Dublin DO1 P767
Ireland

Ultimate beneficial owner declaration

We confirm the below in regards to [*Insert Registered Investor Name*] (the “Applicant”), invested in [*Insert Fund Name*].

Section 1 – Please confirm regarding ownership of Applicant

One or more Natural Person(s) (Individual) owns/controls directly or indirectly 25% or more of the investment as beneficial owner.

Yes - provide details of the natural person(s) identified in the space provided below and proceed to section 3.

No - proceed to section 2.

Full Name: _____

Date of Birth: _____

Place of birth:
(city, country) _____

Registered address:
(street, city, country of residence) _____

Nationality (all if several): _____

National ID number: _____

Percentage Holding (directly or indirectly 25% or more): _____

Source of wealth: _____

*Further information on Ultimate Beneficial Ownership information may be requested.

Section 2 - Please confirm regarding control of the Applicant

⁸ Note to draft: it must be dated no more than three months before the Applicant’s admission into the Fund.

Please provide details of one or more Natural Person(s) (Individual) with significant responsibility for managing the Applicant (e.g. a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, or Treasurer) or any other individual who regularly performs similar functions.

Full Name: _____

Date of Birth: _____

Place of birth:
(city, country) _____

Registered address:
(street, city, country of residence) _____

Nationality (all if several): _____

National ID number: _____

*Further information on Ultimate Beneficial Ownership information may be requested.

Section 3

Is there a requirement to submit a beneficial ownership register in the investor's country of registration - please select as appropriate

Yes

No

If the answer to the above is yes, please confirm if the investor is required to submit a beneficial ownership register and has done so

Yes

No - please provide a brief explanation _____

Where the answer to the above is yes, please provide a copy of the Beneficial ownership filing details. Please note we may require further information on any individual identified on the beneficial ownership register filing

Section 4

Tick this box if any of the individuals identified in sections 1,2 or 3 (i.e. the Beneficial Owner or Controlling Person) or any authorised individual for the Applicant is considered a “Politically Exposed Person” (PEP)⁹.

Full Name: _____

Date of Birth: _____

Position / name of entity _____

Place of birth (city, country): _____

Registered address:
(street, city, country of residence) _____

Nationality (all if several): _____

National ID number: _____

If there are any subsequent changes to the ownership or control structure set out above, we shall inform Apex as soon as reasonably practicable upon becoming aware of such change and supply such information as Apex requires in order to establish and prove the submitted details.

We confirm that we are not aware of any activities on the part of the Applicant that lead us to suspect that the beneficial owners are or have been involved in criminal conduct of money laundering. Should we subsequently become suspicious of any such activity then, subject to any legal constraints, we shall inform Apex and/or the relevant regulatory authorities accordingly.

The undersigned declares that the details given are true and correct in regards to the beneficial ownership and control structure of the Applicant.

Yours sincerely,

Authorised Signatory

Authorised Signatory

⁹ A “Politically Exposed Person” is a person who performs important public functions, is a senior political figure or has been in the last 12 months. It includes but is not limited to heads of state, government and cabinet ministers, judges, senior party functionaries, military leaders, ruling members of royal families, government officials and those directly related to them

APPENDIX 3
AML LETTER

Letterhead of the Regulated Entity

{Date}

Apex Fund Services (Ireland) Limited

2nd Floor, Block 5
Irish Life Centre
Abbey Street Lower
Dublin D01 P767
Ireland

Re: [Name of Investor]

“Introductory section of the company, its regulated status and registration number”

“Name of the Entity” hereby confirms the following in accordance with the standards of a prudent professional and the applicable laws and regulations:

1. We maintain Anti Money Laundering & Counter Terrorist Financing (“**AML/CTF**”) **policies** applicable to all employees and an on-going training program. We have implemented **related procedures** and controls including a procedure on suspicious activity reports;
2. We perform a **risk assessment of the underlying investor, mandates and proxy holders** using a combination of relevant risk factors prior entering into a business relationship and obtain information on the purpose of the business relationship (**Risk Based Approach**);
3. We perform the **identification and verification** of the identity of the underlying investor based on the initial risk assessment. Where applicable, the identification and verification of the **identity of our clients, beneficial owners, controlling parties and proxy holders** is performed, such that the ownership and control structure of the underlying investors in particular legal persons, trusts and similar legal arrangements are understood and risks are assessed;
4. We perform **enhanced due diligence on higher risk** underlying investors and their beneficial owners, where applicable, including **politically exposed persons** and, where a relationship is established with countries or territories which do not or insufficiently apply AML-CTF measures;
5. We perform **on-going monitoring** of the business relationship to maintain KYC information current including detection of unusual transactions which are not consistent with the expected business activity, and where necessary, the origin of funds and origin of wealth;
6. We perform **sanctions screening prior the account opening and on an on-going basis** of the underlying investors, their beneficial owners, mandate and proxy holders where applicable. The sanctions lists are amongst others, the resolutions of the United Nations Security Council as well as acts adopted by the European Commission regarding CTF/EU sanction list. [*In addition where applicable, we are required to comply with OFAC sanctions programs and perform sanctions screening against the listings of the US Department of Treasury, Office of Foreign Asset Control (“OFAC”)*];
7. We **retain investor due diligence documentation during a period of at least five years** following the end of the business relationship and **will make it available upon written request to Apex Ireland** notwithstanding any applicable rules on confidentiality or local secrecy laws.
8. We confirm that screening is performed on all of our employees and we will provide Apex with information relating to individuals such as full name, date of birth, place of birth, if required.

9. We will inform you immediately if we become aware of any introduced investor(s) engaging in activities which lead us to believe that such introduced investor(s) is involved in money laundering or terrorist activities to the extent permitted by law;
10. We **do not enter into business relationship with shell banks** or accept shell banks as underlying investors or beneficial owners;
11. We acknowledge that Apex Fund Services (Ireland) Limited is relying on us to satisfy their investor due diligence requirements with respect to [**Name of Investor**].

Yours sincerely,

Authorized Signatory

Print Name:

Authorised Signatory

Print name:

APPENDIX 4

CERTIFICATION REQUIREMENTS

- Certification must be made by independent 3rd party (self-certification is not acceptable)
- The certifying body must perform the certification in presence of the original documentation and must meet the client personally when certifying the documents
- Certification can only be made by a competent authority:
 - Notary Public
 - Embassy/Consular Staff
 - Commissioner of Oaths (which register number is available)
 - Justice of the Peace
 - A director or authorised signatory of a regulated financial institution in an approved jurisdiction
 - Lawyer or solicitor
 - Chartered & Certified Public Accountants
- Certification must be dated within 6 months
- Certification wording should state:
 - That the document is a true copy of the original document
 - That the document has been seen and verified by the certifier
 - Where an ID document, that the photo is a true likeness of the individual
 - Date of Certification
 - Name, Title, signature, registration number and contact details of the Certifier (i.e. if is a financial institution – name of bank, person, title, phone, etc.)

SCHEDULE 2

CUSTOMER INFORMATION NOTICE – COMMON REPORTING STANDARD

The ICAV intends to 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.

The ICAV is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

Please note that in certain circumstances the ICAV may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the ICAV with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the ICAV to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the ICAV;

- The name, address, jurisdiction of residence, tax identification number and date and place of birth, in the case of an individual, of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the ICAV) may adopt the “wider approach” for CRS. This allows the ICAV to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The ICAV can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the ICAV's tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only:

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

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard

SCHEDULE 3

DATA PRIVACY STATEMENT

This statement sets out details of how the ICAV and third parties acting on the ICAV's behalf collect and process personal information, which may constitute personal data within the meaning of Data Protection Legislation, in connection with investments in the ICAV. This statement explains what personal data is collected, the purposes for which it is used, the third parties to whom it may be disclosed and how individuals can exercise their rights in relation to their personal data.

Shareholders' personal data will be used by the ICAV for the following purposes:

- to manage and administer a Shareholder's holding in the ICAV and any related accounts on an ongoing basis in accordance with the contract between the Shareholder and the ICAV;
- to carry out statistical analysis and market research as the ICAV's legitimate business interest; and
- to comply with legal and regulatory obligations applicable to the investor and the ICAV from time to time including applicable anti-money laundering and counter terrorist financing legislation. In particular, in order to comply with the information reporting regimes set out in Section 891C and Section 891E to Section 891G (inclusive) of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections, Shareholders' personal data (including financial information) may be shared with the Irish Revenue Commissioners. They in turn may exchange information (including personal data and financial information) with foreign tax authorities (including the U.S. Internal Revenue Service and foreign tax authorities located outside the European Economic Area). Please consult the AEOI (Automatic Exchange of Information) webpage on www.revenue.ie for further information in this regard.

Where processing is carried out on behalf of the ICAV, the ICAV shall engage a data processor, within the meaning of Data Protection Legislation, which provides sufficient guarantees to implement appropriate technical and organizational security measures in a manner that such processing meets the requirements of Data Protection Legislation, and ensures the protection of the rights of investors. For example, the Administrator may process personal data relating to the shareholder of the ICAV for the purposes of providing services to the ICAV, performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the Fund and to third parties and transferring them internationally. The ICAV will enter into a written contract with the data processor which will set out the data processor's specific mandatory obligations laid down in Data Protection Legislation, including to process personal data only in accordance with the documented instructions from the ICAV. Shareholders' personal data may be transferred to countries which may not have the same or equivalent data protection laws as Ireland. If such transfer occurs, the ICAV is required to ensure that such processing of shareholders' personal data is in compliance with Data Protection Legislation and, in particular, that appropriate measures are in place such as entering into model contractual clauses (as published by the European Commission) or ensuring that the recipient is "Privacy Shield" certified, if appropriate.

Pursuant to the Data Protection Legislation, Shareholders have a number of rights which may be exercised in respect of their personal data, i.e.:

- the right of access to personal data held by the ICAV;
- the right to amend and rectify any inaccuracies in personal data held by the ICAV;
- the right to erase personal data held by the ICAV;

- the right to data portability of personal data held by the ICAV; and
- the right to request restriction of the processing of personal data held by the ICAV; and
- the right to object to processing of personal data by the ICAV.

These rights will be exercisable subject to limitations as provided for in the Data Protection Legislation. In certain circumstances it may not be feasible for the ICAV to discharge these rights, for example because of the structure of the ICAV or the manner in which the Shareholder holds Shares in a Fund. Shareholders may make a request to the ICAV to exercise these rights.

Please note that personal data may be retained by the ICAV for the duration of a shareholder's investment and afterwards in accordance with the ICAV's legal and regulatory obligations, including but not limited to the ICAV's record retention policy.

The ICAV is a data controller within the meaning of the Data Protection Legislation and undertakes to hold any personal information provided by Shareholders in confidence and in accordance with the Data Protection Legislation. For queries, requests or comments in respect of this notice or the way in which the ICAV uses Shareholders' personal data, Shareholders may contact the Directors at the registered office of the ICAV. Shareholders have the right to lodge a complaint with the Office of the Data Protection Commissioner if they are dissatisfied with the manner in which their personal data is used by the ICAV.