

JOINT APPLICANTS

Family name

First name

Initial

Date of birth

|D|D|M|M|Y|Y|Y|Y|

SA identity number

Passport number

Nationality

PPS number (if ordinarily resident in Ireland)

Company name/Nominee/Intermediary**Registered/Residential address**

Registration details: address

¹ No PO Box numbers are permitted for registered address**CORRESPONDENCE ADDRESS** (if different)**Contact Details**

Phone number

Country code

City code

Tel

Fax number

Country code

City code

Fax

Mobile number

Country code

City code

Cell no

E-mail ¹ (for general correspondence)E-mail ¹ (for contract notes and statements)

You will receive all statements, valuation reports, annual reports and other notices electronically. Statements will be sent monthly via email unless otherwise requested. Should no email address be provided, statements will be sent semi-annually in January and June. You may increase the frequency by advising the Administrator in writing.

INVESTOR BANK ACCOUNT DETAILS ^{1 2 3}

Currency

Name of beneficiary bank

Bank address ¹

Swift

Sort code (GBP only)

ABA

Beneficiary bank account name

Beneficiary bank account number

IBAN

Reference (if applicable)

Name of corresponding bank

Corresponding bank swift

Corresponding bank account name

Corresponding bank account number

¹ Mandatory.² Subscriptions: All subscriptions must be received by electronic transfer. Money must come from the account detailed above.³ Redemptions will be paid to the account detailed above. No Third Party payments will be made.

DIVIDEND PAYMENTS

As noted in the Fund Supplement, it is not the intention of the Directors to distribute the profits of the Fund, however, the Directors reserve the right to change the dividend policy of the Fund. Full details of any such change will be disclosed in an updated Fund Supplement and Shareholders will be notified in advance.

Should the distribution policy change, payment will be made by telegraphic transfer in the functional currency to the Shareholder's bank account or the Shareholder selects dividend reinvestment by ticking the box below, in which case such payment will be automatically reinvested in the purchase of shares of the relevant class, for the account of the relevant Shareholder. Dividend payments will be credited to the applicant's bank account provided in Section 1, unless otherwise requested below.

To select the dividend reinvestment option, please tick the box:

Should you wish to have your dividends paid to an account other than that completed above, please confirm the bank details below:

Name of bank

Swift

Sort code (GBP only)

ABA

Beneficiary account number

Currency

Beneficiary name

Bank address

Corresponding bank

Corresponding bank swift

IBAN

SECTION 2: FINANCIAL INTERMEDIARY

COMPANY NAME

Name

Address

Contact person name

Contact number

Country code

City code

Tel

E-mail

BANK ACCOUNT DETAILS (relevant to the financial intermediary only)

Name of bank

Swift (all except GBP)

Sort code (GBP only)

ABA

Beneficiary account number

Currency

Beneficiary name

Bank address

Corresponding bank

Corresponding bank swift

IBAN

Reference

INTERMEDIARY'S DECLARATION

1. I/We declare that I am/we are licensed to provide advice under the laws of the country in which the advice is provided.

2. I/we declare that I am/we are applying for the shares on behalf of persons:

- Who will be beneficially entitled to the shares
- Who to the best of my/our knowledge and belief, are neither resident nor ordinarily resident in Ireland and;

I/We also declare that unless I/we specifically notify the Administrator to the contrary at the time of application, all applications made for:

- Shares by me/us from the date of this application will be made on behalf of such person; and
- I/we will inform the Administrator in writing if I/we become aware that any persons, on whose behalf I/we hold shares becomes resident in Ireland.

3. I/We have disclosed all income, including rebates received from the Distributor/Management Company to my/our client(s).

Intermediary's signature

Intermediary's signature

Date | D | D | M | M | Y | Y | Y | Y |

Stamp

SECTION 3: IMPORTANT INFORMATION REQUIRED

NB: Anti-Money Laundering/Counter Terrorist Financing Requirements

Measures aimed towards the prevention of money laundering/terrorist financing require a detailed verification of the investor's identity.

All Applicants are required to submit the following minimum documentation in connection with their initial subscription in the ICAV. Given the unique circumstances of each investor, the Administrator, Investment Manager, Distributor or the ICAV reserve the right to request any further documentation which they in their absolute discretion feel is needed to identify the investor.

Additional due diligence documentation may be required. Please contact the Administrator for alternative documentation requirements.

- 1. **An individual investor**
 - a copy of a current passport, current official identification card or current driver's license.
 - a copy of your utility bill verifying your address. Documentation must not be older than 6 months.
- 2. **Institutions incorporated in Approved Jurisdictions. The Administrator will advise if the jurisdiction is approved.**
(NB: Please note all Subscription monies must originate from a bank account in the name of the subscriber.

Please indicate the type of Institution

A: Regulated entity

Please state country or regulation

Please state name of regulator

B: Listed entity or subsidiary of a listed entity

Please confirm name of exchange where shares are traded

If a subsidiary, please confirm name of the ultimate parent/entity

C: Neither A or B

If applicant has ticked box C

- 1) Provide a Letter of Introduction including beneficial ownership confirmation, duly completed by your financial institution. Please contact the Administrator who can provide a sample letter.

Due Diligence Documentation - Ultimate Beneficial Owner

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

ALL ENTITIES

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or control of the entity (including through Bearer Shareholdings),

Where there is no person identified as beneficial owner, the natural person(s) who hold the position of senior managing official(s)/ director(s) will be deemed the beneficial owners. Where the beneficial owner is the senior managing official, verify the identity of that person.

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

Please complete the below regarding Ultimate Beneficial Owner(s):

Name	Residential Address	Nationality	Date of Birth

Note: If there is/are no Individual(s) with a beneficial interest of 25% or more (either directly or indirectly) of the shares or voting rights of the entity, or anyone that otherwise exercises control of the entity (where applicable), please check the box and insert applicable senior managing official(s) below whom will be deemed the UBO:

Name	Residential Address	Nationality	Date of Birth

Declaration

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

Signature 1 _____ Print Name _____ Date | D | D | M | M | Y | Y | Y | Y |

Signature 2 _____ Print Name _____ Date | D | D | M | M | Y | Y | Y | Y |

3. Institutions NOT incorporated in Approved Jurisdictions

(NB: Please note all Subscription monies must originate from a bank account in the name of the subscriber)

Please contact the Administrator for alternative documentation requirements.

In the event of delay or failure by the investor to produce any information required for verification purposes by the Administrator, Distributor or the ICAV, the ICAV, Administrator, Distributor or the Administrator may refuse to process the application, may refuse to accept subsequent transactions or in the case of any Shareholder who has not provided such verification, compulsorily redeem the shares.

Council Directive 2003/48/EC on taxation of savings income in the form of interest payments (the "Directive")

In the event that you elect to invest in a sub-fund ("Fund") of the ICAV, either initially or at a later date, the provisions of the Directive may apply to your investment.

The Directive imposes requirements on Administrators to collect certain information from investors who have invested in schemes or Funds that have, as its main investment policy, the investment in debt securities. The Directive will apply to paying agents in an EU Member State who make certain interest payments to individuals and certain other "residual entities" (but excluding in general terms legal persons and those subject to business taxation, proof of eligibility to avail of any exclusion may be required) within another EU Member State. In accordance with the stated investment objective of a Fund, it is possible that it may be sufficiently invested in debt claims for the Directive to apply on redemptions and/or distributions. Therefore, if redemption proceeds and/or distributions of a Fund are deemed to include interest for these purposes it will be necessary for the Administrator to collect certain information about relevant payees which would be passed to the appropriate EU tax authority, together with details concerning the redemption/distributions.

Accordingly, in order to enable us to comply with the requirements under the Directive, please also furnish us with your tax identification number or in the absence of such a number, confirmation of place of birth and documentary verification of same e.g., duly certified current passport or official ID if it confirms the number /place of birth or certificate of residence for tax.

Tax identification number or Place of birth of first applicant _____

Tax identification number or Place of birth of second applicant _____

We can confirm that such information obtained by us pursuant to the Directive will only be applied in order to enable us to fulfil our obligations under the Directive and for no other purpose.

The Administrator maintains a listing of jurisdictions (which may be updated from time to time) deemed to impose AML regulations which are equivalent to those required of the ICAV, and which may impact upon the due diligence documentation requirement.

4. Source of Funds and or Source of Wealth

To be completed by all investors, to ascertain the activities that have generated their total net worth.

Applicable verification documentation may be requested by the Administrator.

I/we declare that the origin of the funds used to subscribe for shares is from:

(please tick the appropriate section(s) and provide the information as requested therein)

- Savings from salary (basic and/or bonus).** If you own/part own the company where you are employed, please follow the guidance detailed in Company Profits section. If retired please provide detail of previous employment.

Salary per annum

Employer's name

Employer's address

Employer's Industry

Job Title

Duration of employment

- Maturing or surrender of life policy**

Amount received

Policy provider

Policy number/reference

Date of surrender | D | D | M | M | Y | Y | Y | Y |

- Sale of investments or liquidation of investment portfolio**

Description of shares/units/deposits (Including country of domicile)

Name of seller

Name of Investment Company

Source of funds for original investment

How long held

Sale amount

Date funds received | D | D | M | M | Y | Y | Y | Y |

- Sale of property**

Sold property address

Country

Type of Property

Date of sale

Total sale amount

- Inheritance / Gift**

Name of deceased

Date of death | D | D | M | M | Y | Y | Y | Y |

Describe the nature of the business/employment/position of the benefactor (who the inheritance/gift was received from) & jurisdiction of the benefactor:

Source of wealth of the benefactor

Relationship to applicant

Date received | D | D | M | M | Y | Y | Y | Y |

Total amount

Solicitor's details

Divorce settlement. Details of the main source of the divorced partner's funds to be provided in the relevant field.

Date received

Total amount received _____

Name of divorced partner _____

Main source of divorced partner's funds _____

Company profits

Name and address of company _____

Nature of company _____

Amount of annual profit _____

Value of company and percentage of company owned by applicant _____

Employer paying premium

Employer _____

Country of incorporation _____

Incorporation number _____

Other (please specify)

SELF-CERTIFICATION FOR FATCA AND COMMON REPORTING STANDARD ("CRS")

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (2016/679/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

*For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD websites at:
<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>
<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.*

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

Account holders that are INDIVIDUALS or CONTROLLING PERSONS, please complete self-certification A
Account holders that are ENTITIES, please complete self-certification B

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 Cooperation 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>

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 (2016/679/EU) (the “GDPR”) and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018. 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 the OECD websites at: <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx> <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

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

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

(Mandatory fields are marked with an *)

***Section 1: Account holder/Controlling Person Identification**

*Account Holder / Controlling Person / Name

***Current Residential Address**

Number Street

City, Town, State, Province or County

Postal/ZIP Code Country

Mailing address (if different from above)

Number Street

City, Town, State, Province or County

Postal/ZIP Code Country

***Place and Date Of Birth**

*Town or City of Birth *Country of Birth

*Date of Birth |D|D|M|M|Y|Y|Y|Y|

***Section 2: FATCA Declaration of U.S. Citizenship or U.S Residence for Tax purposes:**

Please tick either (i) or (ii) and complete as appropriate.

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

OR

ii) I confirm that [I am not]/[the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

***Section 3: CRS Declaration of Tax Residency/ Residencies including Citizenship and Residency by Investment disclosure**

Please indicate your/ the investor's country of tax residence (if resident in more than one country please detail **ALL** countries of tax residence and **ALL** 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 for CRS (i.e. Ireland or the USA).

Please list **ALL** Tax ID Numbers below:

Country of tax residency	Tax ID number (or TIN equivalent)	If TIN unavailable select A, B or C, and check box below
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

If a TIN is unavailable, please confirm the reason why by ticking A, B, or C below.:

Reason A The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.

Reason B The Account Holder is otherwise unable to obtain a TIN.
(Please explain why you are unable to obtain a TIN)

Reason C No TIN is required.
(Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Please tick this box to confirm you have specified **all jurisdictions** in which you are resident for tax purposes.

3.1 Citizenship/Residency by Investment (CBI/RBI)

Citizenship by Investment (CBI) and Residency by Investment (RBI) schemes are offered by a number of jurisdictions and allow foreign individuals to obtain citizenship or temporary/permanent residency rights based on local investments or against a flat fee. In this regard, the OECD have identified specific jurisdictions that operate CBI/RBI schemes which could potentially pose a high-risk to the integrity of CRS.

If, in this Section 3, you have confirmed that you are resident **only** in one or more of these specific jurisdictions (and not in any other jurisdiction), we are required to determine whether your citizenship/residency rights were obtained through a CBI/RBI scheme. If so, we must collect additional information.

For further details, including the list of jurisdictions and relevant CBI/RBI schemes, please refer to the OECD website:

<https://www.oecd.org/en/topics/sub-issues/international-standards-on-tax-transparency/residence-citizenship-by-investment.html>

Please select **one** of the following options:

Option 1:
I confirm that I am either **not resident** or **not solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity.
(If you select this box, no further information is required in this section – please proceed to Section 4, if applicable.)

Option 2:
I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity but **I did not** receive my residence rights under a CBI/RBI scheme.
(If you select this box, no further information is required in this section – please proceed to Section 4, if applicable.)

Option 3:
I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity and **I solely obtained my residence rights** in these jurisdictions under one or more CBI/RBI schemes.
(If you select this box, please complete Section 3.2)

3.2 CBI/RBI additional queries where an Account holder or Controlling person has obtained citizenship or residency in an OECD CBI/RBI high risk jurisdiction

(Additional questions to be completed ONLY where option 3 above has been ticked)

Do you hold residence rights in any other jurisdiction(s)?

- No**
 Yes (If yes, list the jurisdiction(s))

Have you spent more than 90 days in any other jurisdiction(s) during the previous year?

- No**
 Yes (If yes, list the jurisdiction(s))

In which jurisdiction(s) have you filed your personal income tax returns during the previous year?

(list the jurisdiction(s) below)

Section 4: Type of controlling Person**

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

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

Please confirm what type of Controlling Person applicable under CRS that applies to you/the investor by ticking the appropriate box.	Please tick	Entity name
Controlling Person of a legal person – control by ownership	<input type="checkbox"/>	
Controlling Person of a legal person – control by other means	<input type="checkbox"/>	
Controlling Person of a legal person – senior managing official	<input type="checkbox"/>	
Controlling Person of a trust - settlor	<input type="checkbox"/>	
Controlling Person of a trust – trustee	<input type="checkbox"/>	
Controlling Person of a trust – protector	<input type="checkbox"/>	
Controlling Person of a trust – beneficiary	<input type="checkbox"/>	
Controlling Person of a trust – other	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – protector-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) – other-equivalent	<input type="checkbox"/>	

***Section 5: Declaration and Undertakings**

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

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

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

DATA PROTECTION – CUSTOMER INFORMATION NOTICE:

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

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

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

Information that 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**

***Capacity (if Controlling Person)**

***Date of signature** | D | D | M | M | Y | Y | Y | Y |

SELF-CERTIFICATION B – ENTITIES FOR FATCA AND CRS

INSTRUCTIONS FOR COMPLETION AND DATA PROTECTION NOTICE

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (2016/679/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

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

<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

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

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

(Mandatory fields are marked with an *)

***Section 1: Account Holder Identification**

*Account Holder Name (the "Entity")

*Country of Incorporation or Organisation

***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

***Section 2: FATCA Declaration**

Please tick **either** (I) **or** (II) **or** (III) below **and** provide U.S TIN or exemption code as appropriate, and complete the appropriate sections below based on your FATCA classification.

I.	Specified U.S Person (also complete Sections 4 and 5 below) U.S Federal Taxpayer Identification Number (TIN)	<input type="checkbox"/>
II.	U.S Person but not a Specified U.S Person (also complete Sections 4 and 5 below) W9 Exemption Code	<input type="checkbox"/>
III.	Not a Specified U.S Person (also complete Sections 3, 4 and 5 below)	<input type="checkbox"/>

***Section 3: Entity's FATCA Classification**

The information provided in this section is for FATCA.

Please note your FATCA classification may differ from your CRS classification in Section 5.

Complete either Section 3.1 and 3.2 OR Section 3.3 OR Section 3.4

3.1 Financial Institutions (FIs) under FATCA

If the Entity is a Financial Institution, **tick one of the below categories** I, II, III and provide a GIIN at 3.2; if not, complete section 3.3 to explain type of Entity you are and why a GIIN cannot be provided.

I.	Irish Financial Institution (FI) or other Partner Jurisdiction Financial Institution (FI)	<input type="checkbox"/>
II.	Registered Deemed Compliant Foreign Financial Institution	<input type="checkbox"/>
III.	Participating Foreign Financial Institution	<input type="checkbox"/>

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

3.3 If the Entity is a *Financial Institution* but unable to provide a *GIIN*, please explain by choosing one of the below reasons

I.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Provide the sponsor's name and sponsor's GIIN:</p> <p>Sponsor's Name:</p> <p>Sponsor's GIIN:</p> <p><i>(Note: This option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S reportable accounts are not required to register and obtain a GIIN with the IRS unless and until reportable accounts are identified)</i></p>	<input type="checkbox"/>
II.	<p>The Entity is an Exempt Beneficial Owner Confirm the type of Exempt Beneficial Owner below:</p> <p><input type="checkbox"/> Government Entity</p> <p><input type="checkbox"/> International Organisation</p> <p><input type="checkbox"/> Foreign Central Bank</p> <p><input type="checkbox"/> Exempt Retirement Fund</p> <p><input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners</p>	
III.	<p>The Entity is a Certified Deemed Compliant Foreign Financial Institution <i>(including a deemed compliant Financial Institution under Annex II of the IGA agreement)</i></p> <p>Indicate exemption:</p>	<input type="checkbox"/>
IV.	<p>The Entity is a Non-Participating Foreign Financial Institution (NPFFI)</p>	<input type="checkbox"/>
V.	<p>The Entity is an Excepted Foreign Financial Institution</p> <p>Indicate exemption:</p>	<input type="checkbox"/>
VI.	<p>The Entity is a Trustee Documented Trust Please also provide your Trustee's name and GIIN below:</p> <p>Trustee Name:</p> <p>Trustee GIIN:</p>	<input type="checkbox"/>

3.4 Non-Financial Foreign Entity ("NFFE") under FATCA

If the Entity is **not a Financial Institution** but a **Non-Financial Foreign Entity (NFFE)**, please confirm the Entity's FATCA classification by ticking **one** of the below categories;

I.	<p>Active (NFFE)</p>	<input type="checkbox"/>
II.	<p>Passive (NFFE) Confirm Type of Passive NFFE that applies (a) or (b) below:</p> <p><input type="checkbox"/> a. Passive (NFFE) with <u>no</u> Controlling Persons that are specified U.S Persons OR</p> <p><input type="checkbox"/> b. Passive (NFFE) with Controlling Persons that are specified U.S Persons <i>(If this box is ticked, also complete section 6 below and provide separate individual self-certification forms from each of the Controlling Persons)</i></p>	
III.	<p>Excepted (NFFE)</p>	<input type="checkbox"/>
IV.	<p>Direct Reporting (NFFE) Please provide your GIIN:</p>	<input type="checkbox"/>

***Section 4: Common Reporting Standard (“CRS”) Declaration of Tax Residency**

(Note that Entities may have more than one country of Tax Residence)

Please indicate the Entity’s country of tax residence for CRS purposes, (if resident in more than one country please detail **ALL** countries of tax residence and **ALL** associated tax identification numbers (“TIN”).

*Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN’s.
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>*

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

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

a) You are tax resident in a Jurisdiction that does not issue a TIN,

OR

b) You are tax resident **only** in a non-reportable Jurisdiction for CRS (i.e. Ireland or the USA)

Please list **ALL** Tax ID Numbers below:

Country of tax residency	Tax ID number (or TIN equivalent)	If TIN unavailable select A, B or C, and check box below
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

If a TIN is unavailable, please confirm the reason why by ticking A, B, or C below.:

Reason A The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.

Reason B The Account Holder is otherwise unable to obtain a TIN.
(Please explain why you are unable to obtain a TIN)

Reason C No TIN is required.
(Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Please tick this box to confirm you have specified **all jurisdictions** in which you are resident for tax purposes.

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

The information provided in this section is for CRS. (Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information on CRS to assist with classification, please see the OECD CRS Standard and associated commentary.

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

5.1 Financial Institutions (FI's) under CRS

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

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.
<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

CRS Financial Institution Type	
<p>I. A reporting Financial Institution resident in a participating CRS Jurisdiction <i>(including an Investment Entity, Depository FI, Custodial Institution, Specified Insurance company)</i></p>	<input type="checkbox"/>
<p>II. A Financial Institution resident in a Non-Participating CRS Jurisdiction Please also tick the type of FI that applies:</p> <p><input type="checkbox"/> FI – Investment Entity resident in a Non-Participating Jurisdiction and is managed by another Financial Institution <i>(If this box is ticked, also complete section 6 below and provide separate individual self-certification forms from each of the Controlling Persons)</i></p> <p><input type="checkbox"/> FI – Investment Entity resident in a Non-Participating Jurisdiction but is not managed by another Financial Institution/Other Financial Institution <i>(including a Depository Financial Institution, Custodial Institution or Specified Insurance Company resident in a non-participating jurisdiction).</i></p>	
<p>III. Non-Reporting Financial Institution under CRS Specify the type of non-reporting FI below:</p> <p><input type="checkbox"/> Government Entity</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><input type="checkbox"/> International Organisation</p> <p><input type="checkbox"/> Broad Participating Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Government Entity/ International Organisation or Central Bank</p> <p><input type="checkbox"/> Trust <i>(Who's trustee reports all required information with respect to all CRS reportable accounts)</i></p> <p><input type="checkbox"/> Qualified Non-Profit Entity</p> <p><input type="checkbox"/> Other Entity <i>(Defined under the domestic law as low risk of being used to evade tax)</i> Specify the type provided in domestic law:</p> <hr/>	

5.2 Non-Financial Entity ("NFE") under CRS

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

Active Non-Financial Entity (NFE)	
I. Active (NFE) – a corporation the stock of which is regularly traded on an established securities market Please provide details of the established securities market on which the corporation is regularly traded:	<input type="checkbox"/>
II. Active (NFE) – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation of which the Entity is a Related Entity: And provide details of the securities market on which the corporation is regularly traded:	<input type="checkbox"/>
III. Active NFE – a Government Entity or Central Bank	<input type="checkbox"/>
IV. Active NFE – an International Organisation	<input type="checkbox"/>
V. Active NFE – other than those listed in I, II, III or IV above <i>For example a start-up or certain types of non-profit NFE's.</i>	<input type="checkbox"/>

OR

Passive Non-Financial Entity (NFE)	
VI. Passive (NFE) If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and provide separate AEOI <i>"Individual (including Controlling Persons) Self-Certification for CRS and FATCA form"</i> as indicated in section 6.2 for each Controlling Person(s).	<input type="checkbox"/>

Section 6: Controlling Persons

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

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

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

6.1 Controlling Person(s) of the Account Holder

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above or an Investment Entity** resident in a *Non-Participating Jurisdiction* and managed by another *Financial Institution* in the CRS section, then you must also complete this section for each of the Controlling Person(s) of the account holder and provide a separate *"Individual (including Controlling Persons) FATCA and CRS Self-Certification"* form for each Controlling Person as per 6.2 below:

Indicate the name of all Controlling Person(s) of the Account Holder below:	
I.	
II.	
III.	
IV.	

Note: In case of a trust

Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust.

With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person for CRS purposes will be the natural person who holds the position of senior managing official of the Entity.

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

Section 7: Declarations and Undertakings

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

I/We onfirm (where applicable) that an **“Individual (including Controlling Persons) Self-Certification for FATCA and CRS”** form has been completed, signed and provided **for each Controlling person**, as defined under the CRS and FATCA regulations.

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

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

***Authorised Signature(s)**

***Print Name(s)**

***Capacity in which declaration is made**

***Date of signature(s)** |D|D|M|M|Y|Y|Y|Y|

IMPORTANT INFORMATION WHICH MUST BE READ

1. Non-resident declarations 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 application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each applicant must sign. In the case of a company, the declaration must be signed by the company secretary or other authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney should be furnished in support of the signature.
4. If you are resident or ordinarily resident in Ireland or are an exempt resident as defined in the Prospectus or are an Irish resident company within the charge to corporation tax, please contact the Administrator immediately.
5. **Conflicts of Interests**
All actual and potential Conflicts of Interest are managed, reported and disclosed in line with the Manager's Conflicts of Interests and Outsourcing policy which is available on request.
6. **Complaints**
We strive to provide outstanding Client Service but sometimes things may go wrong. If you have a complaint, please contact us – Email: sanlam.ta@ntrs.com or Telephone +353 1 2417130 or Fax +353 1 241 7131. Complaints will be fully investigated and we will resolve it as soon as possible whilst keeping you updated on progress.
7. **SAMI**
Sanlam Asset Management (Ireland) Limited is authorised and regulated by the Central Bank of Ireland as a UCITS IV Management Company and an Alternative Investment Fund Manager and is licensed as a Financial Services Provider in terms of Section 8 of the South African Financial Advisory and Intermediary Services Act of 2002. Incorporated in Ireland. Registered Number 267640.
8. **Regulatory Statement**
CI Global Investments RIAIF ICAV is authorised and regulated by the Central Bank of Ireland, as a Retail Investor Alternative Investment Fund. The Funds are managed by SAMI.

The full prospectus, the Fund supplement, the MDD/Fact sheet, and if applicable the KIID, is available free of charge from the Manager. This is neither an offer to sell, nor a solicitation to buy any securities in any fund. Any offering is made only pursuant to the relevant offering document, together with the current financial statements of the relevant fund, and the relevant subscription application forms, all of which must be read in their entirety together with the Prospectus, Fund supplement, the MDD/Factsheet and if applicable the KIID. No offer to purchase securities will be made or accepted prior to receipt by the offeree of these documents, and the completion of all appropriate documentation.

If the sub fund is Section 65 approved fund under the Collective Investment Schemes Control Act 45, 2002 (CISCA). Ci Collective Investments (RF) (Pty) Ltd is the South African Representative Office for this fund.

Although all reasonable steps have been taken to ensure the information in the portfolio fact sheet/MDD is accurate, Sanlam Asset Management does not accept any responsibility for any claim, damages, loss or expense; however it arises, out of or in connection with the information. No member of Sanlam gives any representation, warranty or undertaking, nor accepts any responsibility or liability as to the accuracy of any of this information.

The information to follow does not constitute financial advice as contemplated in terms of the South African Financial Advisory and Intermediary Services Act. Use or rely on this information at your own risk. Independent professional financial advice should always be sought before making an investment decision.

Past performance of a fund is no guarantee as to its performance in the future. Independent Financial advice, should be sought as not all in-investments are suitable for all investors.

Collective Investment Schemes (CIS) are generally medium to long term investments. The value of participatory interests/shares may go down as well as up and past performance is not necessarily a guide to the future. Fluctuations or movements in exchange rates may cause the value of underlying investments to go up or down.

The fund price is calculated on a net asset value basis, which is the total value of all assets in the portfolio including any income and expense accruals. Trail commission and incentives may be paid and are for the account of the Manager. International investments or investments in foreign securities could be accompanied by additional risks such as potential constraints on liquidity and repatriation of funds, macroeconomic risk, political risk, foreign exchange risk, tax risk, settlement risk as well as potential limitations on the availability of market information.

The Manager has the right to close any Portfolios to new investors to manage them more efficiently in accordance with their mandates. Collective Investment Schemes are traded at ruling prices and can engage in borrowing and scrip lending, as detailed in each supplement.

DATA PRIVACY NOTICE

In accordance with the General Data Protection Regulation (2016/679/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003) (collectively, "Data Protection Legislation"), the ICAV being the data controller for the purposes of this application to subscribe for shares in the ICAV, 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 ICAV as a consequence of your investment in the ICAV, then the ICAV, acting as a data controller may itself (or through a third party such as the Administrator, Northern Trust Global Services SE or Northern Trust Global Services, UK Branch) acting as a data processor, process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as an independent data controller in respect of your personal information. For the avoidance of doubt, the Administrator will not at any time be acting as a joint controller with the ICAV. In connection with this, please note the following:

1. Contact details

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

Administrator

Northern Trust International Fund Administration Services (Ireland) Limited, George's Court;
54-62 Townsend Street,
Dublin 2, D02 R156, Ireland
Tel: +353 1 434 5142
Email: sanlam.ta@ntrs.com

2. 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 ICAV and/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 ICAV, the management and administration of your investment with the ICAV and any related account on an ongoing basis (the "Services") which are necessary for the performance of your contract with the ICAV, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions, where applicable;
- (b) to update and maintain records and fee calculations;
- (c) circulating periodic reports relating to the ICAV.

Compliance with a legal obligation

- (a) in order to carry out anti-money laundering/counter terrorist financing checks and related actions which the ICAV considers appropriate to meet any legal obligations imposed on the ICAV 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 (collectively "AML checks"), in accordance with the ICAV's anti-money laundering/counter terrorist financing procedures;
- (b) to report tax related information to tax authorities in order to comply with a legal obligation.

Pursuing the legitimate interests of the ICAV 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 ICAV's and the Administrator's anti-money laundering/counter terrorist financing 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 ICAV, 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 prosecution, (iv) to enforce or defend the ICAV and its affiliates' rights itself or in order to comply with any legal obligation imposed on the ICAV, (v) to pursue the ICAV'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 ICAV to improve its service delivery;
- (e) to disclose information to other third parties such as service providers of the ICAV, 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 ICAV will no longer process the personal data unless the ICAV 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.

3. Recipients of Data and International Transfer of Data

The ICAV may disclose your personal information as follows:

- (a) to the ICAV's service providers, including the Administrator and other third party service providers engaged by the ICAV and their affiliates, in order to store or process the data for the above mentioned purposes;
- (b) to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and
- (c) to the Administrator and / or its affiliates as joint controllers:
 - to create a single source record, relating to you, which is held, maintained and used by the Administrator and its affiliates as joint controllers in pursuance of the Administrator's, its affiliates' and the ICAV's legitimate interests;
 - where you subscribe to use the Administrator's investor portal functionality, for the purposes of the performance of the Administrator's agreement with you in relation to your use of that portal functionality, including for security in connection with the portal;
 - to retain AML and other records of individuals to assist with subsequent screening of them by the Administrator or its affiliates, including in relation to other funds or clients of the Administrator or any of its affiliates in pursuance of the Administrator's, its affiliates' or its clients' legitimate interests and to meet any legal obligations imposed on the Administrator or its affiliates.

In any case where the ICAV shares your personal information with a third party data controller (including, as appropriate, the Administrator and its affiliates), the use by that third party of your personal information will be subject to the third party's own privacy policies. The Administrator's privacy policy may be accessed at www.northerntrust.com/privacy.

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area ("EEA") in accordance with the requirements of the General Data Protection Regulation or outside the United Kingdom in accordance with the requirements of the UK Data Protection Act 2018 (as amended by the Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), as amended or replaced from time to time (the "Data Protection Law"). Such countries may not have the same data protection laws as your jurisdiction.

Where such countries are not recognised as having an adequate level of data protection by the European Commission or the relevant adequacy regulations made under the UK Data Protection Act 2018 (as amended by the Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), the ICAV (i) has, or has authorised the Administrator as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred; (ii) acknowledges that the personal data will be transferred in accordance with Standard Contractual Clauses or, once adopted, the Binding Corporate Rules. Please contact the Administrator for copies of (i) the Standard Contractual Clauses and / or (ii) the Northern Trust Binding Corporate Rules, once adopted.

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 ICAV seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

4. Consent to Direct Marketing

From time to time, one or more of the ICAV and/or its delegates (which may include, without limitation, the Administrator, the Investment Manager and the Depositary) 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 ICAV 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.

5. Profiling and Screening

The ICAV 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 the UN, EU and other applicable sanctions regimes.

6. Disclosures to Data Processors and / or Third Parties

The ICAV 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 abovementioned 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 ICAV or agents of the Administrator who process the information for anti-money laundering/counter terrorist financing 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

7. Transfers Abroad

The disclosure of personal information to the third parties set out above may involve the transfer of data to South Africa, the United States and Hong Kong and other 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 ICAV has authorised the Administrator, as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the ICAV.

8. Retention period

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

9. 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 ICAV 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 where the ICAV is processing personal data for legitimate interests.

10. 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 ICAV 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.

Terms and Conditions of Service for instructions issued to the Administrator via email

Introduction

If you (hereinafter referred to as the “Investor”) wish to send Northern Trust International Fund Administration Services (Ireland) Limited, (the “Administrator”), instructions in respect of the Shares of a Ci Global Investments ICAV sub-fund (the “Fund”) in portable document format (“PDF”) or commonly used equivalent scanned form which is transmitted to the Administrator via email, then the terms as set out below will apply to the Investor’s account.

IT IS IMPORTANT THAT THE INVESTOR READS THESE TERMS AND CONDITIONS OF SERVICE CAREFULLY.

By completing the appropriate documentation (e.g. account opening forms, additional subscription forms, transfer/switch requests or redemption forms) and instructing the Administrator in respect of the Shares of the Fund via email, the Investor will have accepted the following Terms and Conditions of Service.

A. Procedure for PDF Instructions

1. The email address to submit PDF instructions SanlamTAInstruction@ntrs.com. **This address is to be solely used for sending PDF instructions via email in respect of the shares in the Fund.**
2. The Investor shall ensure that the PDF instruction is signed by properly authorised persons, scanned and attached to a **blank email** which is addressed to SanlamTAInstruction@ntrs.com
3. PDF instructions received without the scanned PDF form attached will not be accepted.
4. Upon receipt of an email with the scanned PDF instruction, the Administrator will send the Investor a task number by auto-response.
5. The task number acknowledges receipt of the Investor’s instruction.
6. The task number is not confirmation of placement of the instruction.
7. The Administrator must be in receipt of the instruction prior to the relevant dealing deadline as set out in the Fund’s Prospectus. The Administrator will not be responsible for any delays in receipt.
8. If the Investor does not receive a task number by auto response, it is the Investor’s responsibility to contact the Administrator by telephone (details confirmed within the application form) to confirm that the Administrator has received the Investor’s instruction.
9. If the Investor sends the Administrator a PDF dealing instruction in respect of the shares in the Fund to a mailbox other than specified above, the Administrator will reject the instruction and/or the deal will not be placed. Notification of rejection may not be given prior to the dealing cut off.
10. In cases where the Investor has supplied the Administrator with a “group” email address, the Administrator will have fully discharged its responsibilities where it has sent any communication to this “group” address.
11. The Investor should not send a duplicate instruction by alternative means to the Administrator as this could lead to a duplicate e.g deals being placed in error.
12. The Investor is not obliged to instruct in this manner.

B. General Terms and Conditions of Service

1. Email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and the Investor will bear the risks if the Investor wishes to conduct the Investor’s dealings using email.
2. The Administrator is authorised and instructed to accept and execute any instructions in respect of shares in the Fund given by the Investor in PDF form or by email. The Administrator will rely conclusively upon, and neither the Company nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine.
3. Neither the Company nor the Administrator will be responsible or liable for the authenticity of instructions received from the Investor or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.
4. Neither the Company nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by the Investor in PDF form or by email, including without limitation, the Investor’s use of an incorrect email address, failure of the Investor’s transmission, interception, alteration or corruption of the Investor’s email transmission, non-receipt of the Investor’s electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Company nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.