

Nedgroup Investments International

Trust application - Individual Trustee for Swiss investors



For shares in Nedgroup Investments Funds Plc (incorporated in Ireland as an investment company with variable capital as a UCITS under registration number 543817) The Company.

Agreement details

- 1. This application, together with all appendices and exhibits hereto (the 'Agreement') is governed by Irish law.
- 2. Please use BLOCK CAPITALS and blue or black ink only. Do not use correction fluid; any amendments should be crossed out and initialled.
- 3. Please complete ALL sections in FULL. Failure to fully complete the application may result in your investment being delayed.
- 4. Any incomplete information will need to be confirmed in writing by the applicants once the Administrator has received the application.
- 5. Please ensure that the appropriate declarations are signed and all sections are completed in full.

1. Trust details

Name of trust

Trust number
(if applicable)

Date of establishment

D

D

M

M

Y

Y

Y

Y

Trust country of establishment

Nature of trust

Trustee registration number

Correspondent details

Contact name

Telephone (landline)

+ (0)

Telephone (cell)

+ (0)

Fax

+ (0)

Contact person email address

Contact person address

Postal code

Initial here

Entity self-certification

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. 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 with relevant tax authorities. This Agreement is intended to request information only where such request is not prohibited by Irish law.

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

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

If any of the information below about the investor'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 investor is required to complete a separate Self-Certification.

Section A:

The Entity is a Specified US Person (please tick)

☐

My US Tax Identification Number (TIN) is:

OR

The Entity is not a Specified US Person (please tick)

☐

(please also complete sections B, C and D)

OR

The Entity is a US Person but not a specified US Person

☐

(please also complete sections B, C and D)

Entity's FATCA classification

Section B: Financial Institutions

If the Entity is a Financial Institution please tick one the categories in the table below and provide the Entity's GIIN

1 Irish Financial Institution or a Partner Jurisdiction Financial Institution

☐

2 Registered Deemed Compliant Foreign Financial Institution

☐

3 Participating Foreign Financial Institution

☐

GIIN (Global Intermediary Identification Number).

If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the following as the reason:

1 Partner Jurisdiction Financial Institution and has not yet obtained a GIIN

☐

2 The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide a Sponsor's name and GIIN

Name

GIIN:

3 Exempt Beneficial Owner

☐

4 Certified Deemed Compliant Foreign Financial Institution (including Deemed Compliant Financial Institution under Annex II of the Agreement)

☐

5 Non-Participating Foreign Financial Institution

☐

6 Excepted Foreign Financial Institution

☐

Initial here

II: Non-Financial Institutions

If the Entity is not a Financial Institution, please confirm the Entity's FATCA status below:

i The Entity is an Active Non-Financial Foreign Entity (please tick)

☐

OR

ii The Entity is a Passive Non-Financial Foreign Entity (please tick)

☐

If the Entity is a Passive Non-Financial Foreign Entity, please complete a separate Individual Self Certification Form in respect of any Controlling Persons

OR

iii The Entity is an Excepted Non-Financial Foreign Entity (please tick)

☐

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

Please indicate your/ the investor's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please see the CRS Portal for more information on Tax Residency.

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 principle office is located.

Country of tax residency	Tax ID number

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

Section D: Entity's CRS Classification*

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

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

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

i) Financial Institutions under CRS:

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

i Financial Institution under CRS (other than (II) below)

☐

ii An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification forms for each of your Controlling Persons**)

☐

Name

Initial here

ii) Non Financial Institutions under CRS:

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

- i Active Non-Financial Entity - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation ☐
- ii Active Non-Financial Entity - a Government Entity or Central Bank ☐
- iii Active Non-Financial Entity - an International Organisation ☐
- iv Active Non-Financial Entity - other than (i)-(iii) (for example a start-up NFE or a non-profit NFE) ☐
- v Passive Non-Financial Entity (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s)) ☐

**Controlling Person:

NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form. If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

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

Declaration and undertakings:

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

I acknowledge that the information contained in this Agreement and the information regarding the Account Holder may be reported to the tax authorities of the country in which this account is 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 Company 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.

Name
(Authorised signatory)

Signature

Capacity

Date

Name
(Authorised signatory)

Signature

Capacity

Date

Initial here

2. Trustee details

First trustee

Title		Surname									
First and middle name(s)											
Residential address											
Postal code											
Gender	☐ Male	☐ Female	Date of birth								
			<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Nationality		Town of birth									
Country of birth											

Second trustee

Title		Surname									
First and middle name(s)											
Residential address											
Postal code											
Gender	☐ Male	☐ Female	Date of birth								
			<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Nationality		Town of birth									
Country of birth											

Where there are additional directors and/or trustees to be disclosed, please duplicate this page of the form and complete the required information for them.

3. Settlor details

Title		Surname									
First and middle name(s)											
Residential address											
Postal code											
Gender	☐ Male	☐ Female	Date of birth								
			<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Nationality		Town of birth									
Country of birth		Initial here									

4. Beneficiaries

First beneficiary

Title		Surname									
First and middle name(s)											
Residential address											
Postal code											
Gender	☐ Male	☐ Female	Date of birth								
			<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Nationality		Town of birth									
Country of birth											

Second beneficiary

Title		Surname									
First and middle name(s)											
Residential address											
Postal code											
Gender	☐ Male	☐ Female	Date of birth								
			<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Nationality		Town of birth									
Country of birth											

Where there are additional beneficial owners to be disclosed, please duplicate this page of the form and complete the required information for them.

Initial here

5. Investment details

Total amount to be invested

Currency

Total investment amount

Fund	Currency	Class	Investment amount	OR	Percentage allocation
			(USD, GBP, Euro, CHF)		%
Global Flexible Fund					
Global Cautious Fund					
Global Property Fund Acc					
Global Property Fund Dist					
Contrarian Value Equity Fund					
Global Emerging Markets Equity Fund					
Global Strategic Bond Fund					
Total investment amount					

Nedgroup Investments International client money routing details for subscriptions

International Best of Breed Funds

- ☐ Global Flexible
- ☐ Global Cautious
- ☐ Global Property
- ☐ Contrarian Value Equity
- ☐ Global Strategic Bond
- ☐ Global Emerging Markets Equity

US Dollars

Bank name and address: Citibank N.A., 25 Canada Square, London
SWIFT code / BIC: CITIGB2L
Account name: Nedgroup Investments Funds Plc
USD account number: 14068645
USD IBAN: GB95CITI18500814068645
Correspondent: Citibank N.A.; New York, CITIUS33

Sterling

Bank name and address: Citibank N.A., 25 Canada Square, London
SWIFT code / BIC: CITIGB2L
Account name: Nedgroup Investments Funds Plc
Sort code: 18-50-08
GBP account number: 17890168
GBP IBAN: GB08CITI18500817890168

Euros

Bank name and address: Citibank N.A., 25 Canada Square, London
SWIFT code / BIC: CITIGB2L
Account name: Nedgroup Investments Funds Plc
EUR IBAN: GB58CITI18500818351570
Correspondent: Citibank Europe Plc; Dublin, CITIIE2X

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Swiss Francs

Bank name and address: Citibank N.A., 25 Canada Square, London
SWIFT code / BIC: CITIGB2L
Account name: Nedgroup Investments Funds Plc
CHF IBAN: GB80CITI18500818717737
Correspondent: SIX Interbank Clearing Ltd; Zurich, TKZHCHZZ

Canadian Dollars

Bank name and address: Citibank N.A., 25 Canada Square, London
SWIFT code / BIC: CITIGB2L
Account name: Nedgroup Investments Funds Plc
CAD IBAN: GB61CITI18500814306228
Correspondent: Toronto Dominion Bank, Toronto, TDOMCATTTOR

Shares will be placed on acceptance of this application by the Investment Manager and Distributor or Administrator. The price will be determined at the earliest valuation point following acceptance of this application in accordance with the Companies' notice period for subscriptions. Please note that for additional investments, the Investment Manager and Distributor or Administrator will assume, unless advised in writing to the contrary, that the investment is to be split as per the above allocation.

6. Source of funds

Investment amount to be transferred from:

Bank/Company name	
Country in which bank is located	
Name of account holder (as registered with bank)	
Account number / IBAN	

7. Source of wealth

Where have these funds come from (originally) in order for you to invest? If Savings, Savings from what? If inheritance, what is your connection to the deceased? If Sale of property, whose property?

Please provide as much detail as possible.

☐	Savings	Details	
☐	Inheritance	Details	
☐	Sale of property	Details	
☐	Other	Details	

Evidence to support the above information may be requested to complete the Application Process.

Initial here

8. Nature and purpose of investment

In order to achieve the investment objective of the Funds, investment in the company should be made for the medium to long term. Please provide details of your expectations of the investment in the following respects:

Purpose of investment

Expected term of investment

Expected volume and value of activity*

* For example, single investment of £10 000 or quarterly redemptions of £1000.

9. Financial advisor fees

Sale of shares

Under agreement with my/our Financial Adviser please be advised that I/we wish to redeem share(s) from my/our investment to pay an on-going Financial Adviser Fee as follows:

☐ Please tick here if applies to all holdings

Fund name	Fund currency	Equivalent annual fee
		%

Frequency of payment?

☐ Quarterly ☐ Half-yearly ☐ Annually

☐ Does VAT apply to these fees? If so percentage? %

Fees will be calculated on a daily accrual basis; shares will be redeemed to the value of fees accrued in the period in arrears. Dealing will take place in accordance with the notice period and settlement terms of the fund(s) in which I/we am/are invested. Deals will be processed with reference to the number of shares held at the time of the calculation until cancelled in writing by me/us.

Where applicable, I hereby authorise the Transfer Agent to pay the proceeds of my redemption to the Nedgroup Investments Client Account from where Nedgroup Investments will transfer the proceeds in accordance with my payment instructions.

☐ Have you stated the source of the funds that your client(s) is/are investing and provided evidence?

☐ Have you stated the source of wealth (the means by which your client(s) came by the money they are investing) and provided evidence of this?

Initial here

Name and address or stamp

Broker code
(if applicable)

Nedgroup Investments Account Manager

10. Nominated bank account in the event of redemption

You are required to nominate a bank account to which the proceeds of redemption will be paid. Please provide your full bank details in the event of a redemption share request.

Beneficiary bank

Beneficiary bank name

Beneficiary bank address

Postal code

SWIFT code/sort code/
routing number

Beneficiary account name

Beneficiary account
number/ IBAN

The Investment Manager or Administrator will remit redemption proceeds to the above mentioned account unless advised otherwise.

11. Declarations and confirmations

Unless otherwise provided for herein, all defined terms shall have the same meaning as in the Prospectus for the Company (the "Prospectus") current at the date of this Agreement.

The undersigned hereby certifies as follows in connection with this Subscription Agreement and any subsequent Agreement:

1. General agreement

- 1.1 I/We hereby confirm that prior to completing this Application Form I/we have received and considered a copy of the relevant KIID/PRIIPS KID, the current Prospectus, the Fund(s) Supplement(s), and the most recently published annual and/or semi-annual report of the Company (where applicable), and hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Application Form and the provisions of the Company's Constitution from time to time in force.
- 1.2 I/We hereby undertake to observe and be bound by the Prospectus and the provisions of the Constitution (as amended from time to time) of the Company and apply to be entered in the register of shareholders of the Company as the holder/ holders of the Shares issued in relation to this Agreement.

Initial here

- 1.3 I/We hereby indemnify the Company, the Manager, the Investment Manager and Distributor, the Depositary, the Administrator (the Service Providers) and agree to keep each of them indemnified against any loss accruing as a result of any failure to process this Agreement, if the information required by any of them has not been provided by me/us.
- 1.4 I/We hereby acknowledge that /we are aware of the Total Expense Ratio (TER) / On-going Charges of the Company as disclosed in the most recent Fund Fact Sheets.
- 1.5 I/We hereby irrevocably apply for the shares set out above at a price determined in accordance with the current Prospectus.
- 1.6 I/We declare that I am/we are over 18 years of age.
- 1.7 I/We hereby acknowledge that any information connected to the provision of services to me/us may be held, stored and retained in any medium, be it electronic or paper based, that the Company and the Service Providers will separately provide adequate security to that information.
- 1.8 I/We hereby acknowledge that in the event that subscription and redemption monies are transacted through a general client money bank account, any interest earned on monies held in this account will be retained for the benefit of the Investment Manager and Distributor.

2. Application and identity

- 2.1 I/We hereby acknowledge that the Company and the Service Providers reserve the right to seek evidence of identity to comply with applicable anti-money laundering regulations. In the case of delay or failure to provide satisfactory information, the Company and the Service Providers may take such action as they see fit and be held harmless and indemnified against any loss arising as a result of a failure to process this Agreement if such information has been required by the parties referred to and has not been provided by me/us.
- 2.2 I/We undertake that if as Investor(s) I/we are acting as agent or nominee in connection with this investment: for a senior foreign political figure¹, or any immediate family member² or close associate³ of a senior foreign political figure as such terms are defined below we will notify the Company and provide details of the person for whom I/we are acting as agent or nominee.
 - a) A “senior foreign political figure” is defined as a senior official in the executive, legislative, administrative, military or judicial branches of a government (whether elected or not), a senior official of a major political party, or a senior executive of a government-owned corporation. In addition, a “senior foreign political figure” includes any corporation, business or other entity that has been formed by, or for the benefit of, a senior foreign political figure
 - b) “Immediate family” of a senior foreign political figure typically includes the figure’s parents, siblings, spouse, children and in-laws.
 - c) A “close associate” of a senior foreign political figure is a person who is widely and publicly known to maintain an unusually close relationship with the senior foreign political figure and includes a person who is in a position to conduct substantial financial transactions on behalf of the senior political figure.

3. Tax status and residence

- 3.1 I/We acknowledge that I/we have sole responsibility for the management of our tax and legal affairs including making any applicable filings and payments and for complying with any applicable laws and regulations.

I/We acknowledge that the Company and the Service Providers may be required to pass on information about me/us to tax authorities or deduct withholding taxes from any interest, dividend or redemption payment I/we may be entitled to.

I/We hereby undertake to inform the Company of any changes to my/our country of residence, including tax residency, nationality or any other aspect of my/our personal details which may affect my/our tax status within 30 days of any such change.

- 3.2 I/We declare that:

- a) the subscription for Shares by me/us as set out in this Agreement does not violate any laws or regulations in the country/territory in which I am/we are domiciled;
- b) by opening this account and signing below, the account owner represents and warrants that I am/we are not a U.S. person for purposes of U.S. Federal income and that I am/we are not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If my/our tax status changes and I/we become a U.S. citizen or a resident, I/we will notify the Company within 30 days.

I/We acknowledge that the Company reserves the right to impose restrictions on the holding or transfer of shares including, at the discretion of the Directors, their mandatory redemption.

3.3 I/We do not intend selling or transferring any Shares which I/we may subscribe for, to any person who is a US Person. I/We agree to:

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

I/We acknowledge that the Company reserves the right to impose restrictions on the holding or transfer of shares including, at the discretion of the Directors, their mandatory redemption.

4. On-going relationship

4.1 I/We hereby undertake to advise the Company in writing of any changes to my/our details contained in Section 1.

4.2 I/We hereby authorise, the Manager, the Investment Manager and Distributor and the Administrator to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this Agreement relates, given by me/us in writing, by post or facsimile, or by other electronic means (including e-mail, FTP upload, secure internet based messaging or other similar means) for processing. I/We hereby agree to indemnify each of the Company, the Manager, the Investment Manager and Distributor and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by me/us, i.e. facsimile instructions and other electronic means. The Company, the Manager, the Investment Manager and Distributor and the Administrator may rely conclusively upon, and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed properly by authorised persons.

4.3 I/We hereby acknowledge and agree that subscription monies received in respect of a Fund in advance of shares being issued on the relevant Dealing Day will be held in the umbrella cash subscriptions and redemptions account in the name of the Company and will be treated as an asset of the relevant Fund. I/We further acknowledge and agree that the Applicant will be an unsecured creditor of the relevant Fund with respect to the amount held by the Company until Shares are issued on the Dealing Day and, as such, will not benefit from any appreciation in the Net Asset Value of the relevant Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. I/We further acknowledge and agree that such amounts will constitute a debt due to the Applicant from the relevant Fund and will not be held on trust for the Applicant, pending the issue of shares on the relevant Dealing Day.

4.4 In the event of a redemption of shares I/we hereby authorise the Administrator to pay the proceeds of the redemption to the Nedgroup Investments Client Account from where the Investment Manager and Distributor will transfer the proceeds in accordance with my payment instructions.

4.5 I/We hereby acknowledge that redemption proceeds will not be released until such time as the Investment Manager or the Administrator has received the original subscription documentation, all anti-money laundering requirements have been met, satisfactory supporting documentary evidence has been provided and any other details that may be required have been provided.

4.6 I/We acknowledge and agree that payment of redemption proceeds in respect of a particular Fund is subject to receipt by the Investment Manager and Distributor and the Administrator of original subscription documents and compliance with all anti-money laundering procedures and that notwithstanding this, as a redeeming Shareholder, I/we will cease to be a Shareholder, with regard to the redeemed Shares, and will be unsecured creditors of the particular Fund, from the relevant Dealing Day. I/We further acknowledge that pending redemptions, including blocked redemptions, will, pending payment to the relevant Shareholder, be held in the umbrella cash subscriptions and redemptions account (Umbrella Cash Subscriptions and Redemptions Account) in the name of the Company. I/we acknowledge and agree that such amounts will constitute a debt due to me/us from the relevant Fund, as and from the relevant Dealing Day, and will not be held on trust for me/us pending payment of the redemption proceeds.

4.7 I/We note that all/part of fees and expenses may be charged to the capital of the Company. This will have the effect of lowering the capital value of the investment.

5. Information and reporting

5.1 Electronic delivery of fund documentation and reports I/We hereby consent to provision of contract notes, statements and other reports, by electronic transmission and to receive by electronic delivery Company, Fund and Shareholder documentation and information, including but not limited to, the Prospectus, key investor information documents (KIID/PRIIPS KID), notices, the annual and semi-annual report of the Company, circulars and any documentation or information relating to the Company and the Fund(s), including information which may be issued from time to time by the Investment Manager and Distributor and the Administrator in respect of my/our holdings in the Fund(s). Electronic delivery includes e-mail delivery to the e-mail address set out herein or as otherwise agreed with the Investment Manager and Distributor and the Administrator from time to time and/or electronically making available such documentation or information on www.nedgroupinvestments.com or such other web-site address as may be notified to me/us from time to time.

5.2 I/We understand that the Prospectus and KIID/PRIIPS KID may be provided by way of electronic delivery and that a paper copy of the Prospectus and/or KIID/PRIIPS KID will be provided free of charge on request.

I/We confirm that my/our preference is to receive the Prospectus and KIID/PRIIPS KID by way of electronic delivery.

I/We acknowledge that updated versions of the Prospectus and KIID/PRIIPS KID will be made available at www.nedgroupinvestments.com or such other web-site address as may be notified to the Applicant from time to time.

I/We acknowledge that where the Company are required to provide the relevant KIID/PRIIPS KID prior to each subsequent subscription for or exchange of Shares in the relevant Class, I/we hereby agree that for each subsequent application for subscriptions and/or exchange of Shares in any Class, the KIID/PRIIPS KID will be made available to me/us by way of electronic delivery, including via the website, unless a paper copy is requested.

6. Data protection & privacy

For the purposes of Data Protection and Privacy, the relationship between the Investment Manager and Distributor and the Companies is considered to be that of Joint Data Controllers within the meaning of data protection legislation and each party will hold all personal data in accordance with data protection legislation.

I/We acknowledge that the Joint Data Controllers:

6.1 will collect my/our data in various ways, principally:

- from information I/we provided before becoming a client;
- on completion of the client application forms;
- from third parties and publicly available sources;
- from third party intermediaries, introducers, brokers, agents and representatives acting on my/our behalf; and
- in other interactions I/we have as a client.

6.2 and its delegates or service providers including, but not limited to the Administrator and/or its respective delegates and agents may process my/ our personal data:

- to operate the Funds, including managing and administering my/our holdings in the relevant Fund on an on-going basis.
- to comply with all relevant legal, tax or regulatory obligations including laundering and counter-terrorism and tax legislation and fraud prevention in Isle of Man and Ireland.
- in order to carry out statistical analysis and to perform financial and/or regulatory reporting.

6.3 will hold some or all of the following types of Personal Data in relation to me/us;

- Biographical and contact information
- Identification and due diligence information
- Financial and Wealth related information

6.4 may share my/our information with other Nedbank Group companies and other third parties including the Company and the Service Providers, my/our advisers, due diligence screening systems, regulatory bodies, taxation authorities, auditors and mailing solution providers.

6.5 may transfer and store my/our data to countries outside the European Economic Area, including some that may not have laws that provide the same level of protection for personal information. Where this is the case, additional measures will be implemented to ensure adequate protection of the personal data.

6.6 will only retain my/our personal data for as long as it is needed, given the purpose for which it was collected, or as required by law and any other statutory obligations, including anti-money laundering, counter-terrorism, tax legislation. My/our personal data may be retained for a maximum of 6 years from the end of the relationship; however some of the data will be retained for less than this.

6.7 is obliged to afford me/us certain rights relating to my/our personal data. This includes requesting details of the personal data held relating to me/us, asking incorrect or incomplete data to be amended, objecting to/or restricting the processing of my/our personal data, and making a complaint.

I/We acknowledge that the full provisions of Data Protection and Privacy are set out the Data Privacy Notice and can be viewed or download at www.nedgroupinvestments.com.

7. Governance

If you wish to make a complaint, full details of the complaints procedure can be found on the website www.nedgroupinvestments.com

8. Your declarations

- 8.1 I/We warrant that I am/we are duly authorised to sign this Agreement and to subscribe for or redeem the Shares in the Company and that by virtue of my/our subscribing for, holding or redeeming Shares in the Company, I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Company and the Service Providers and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.
- 8.2 I/We warrant that the particulars provided by me/us are true and complete and hereby indemnify the Company, against losses or damage suffered in reliance thereon.

13. Notes

1. The Agreement may be completed by a duly authorised agent on behalf of the applicant(s). Such agent represents and warrants that he/she is duly authorised to sign this form and thereafter redeem shares on behalf of the applicant(s). Such agent submits the Power of Attorney or other authority under which he/she acts with the completed application and identification documents for both the agent and all applicants.
2. No share certificate will be issued; ownership is evidenced by the Company's register of shareholders as maintained by the Administrator.
3. Fractional shares will be issued to four decimal places.
4. If more than one applicant signs, then such signatories will be deemed to be joint applicants and joint holders. Applicants should bear in mind that all joint signatories will be required to sign subsequent instructions unless an alternative instruction is given under the signing mandate. In the event of the death of any signatory, the Company will accept the surviving holder(s) signature(s) for any instruction pertaining to the subscription for new shares or the redemption of shares or the switching of funds.
5. All bank charges incurred in the transfer of funds will be for the account of the applicant(s).

14. Declaration of residence outside Ireland (please tick the appropriate box)

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.

☐ a) Declaration on own behalf

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

OR

☐ b) Declaration as intermediary

I/We declare that I am/we are applying for Shares on behalf of a person(s) who will be beneficially entitled to the Shares and who to the best of my/our knowledge and belief, is/are neither resident nor ordinarily resident in Ireland. I/We also declare that unless I/we specifically notify you to the contrary at the time of application, all applications for Shares made by me/us from the date will be made on behalf of such persons and I/we will inform you in writing if I/we become aware that any person, on whose behalf I/we hold Shares becomes resident or ordinarily resident in Ireland.

Important notes for making this declaration and then signing below

Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. To be valid, the Agreement (incorporating the declaration required by the Irish Revenue Commissioners) 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 signed by company secretary or other authorised officers. If the Agreement (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

Applicants who are Exempt Irish Investors should contact the Administrator for the alternative declarations available for Exempt Irish Investors.

15. Agreement to terms

Signatories required to authorise transactions.

☐ Any one may sign solely ☐ All to sign jointly Other (please specify)

Where there is more than one signatory, unless indicated to the contrary above, all signatories will be required to sign subsequent instructions.

Name
(Authorised signatory)

Signature Date

Name
(Authorised signatory)

Signature Date

Name
(Authorised signatory)

Signature Date

Name
(Authorised signatory)

Signature Date

Nedgroup Investments Funds Plc (the Company) is authorised in Ireland and regulated by the Central Bank of Ireland as an undertaking for collective investment in transferrable securities pursuant to the European Communities (Undertakings for Collective Investment in Transferable Securities)

Regulations 2011 (S.I. No 352 of 2011) as amended from time-to-time. The Company is managed by Carne Global Fund Managers (Ireland) Limited (the Manager). The Manager is authorised in Ireland and regulated by the Central Bank of Ireland.

This document is not intended for distribution to any person or entity who is a citizen or resident of any country or other jurisdiction where such distribution, publication, or use would be contrary to law or regulation.

Nedgroup Investments (UK) Limited (reg no 2627187) is authorised and regulated by the Financial Conduct Authority.

The Company and certain of its sub-funds are recognised in accordance with Section 264 of the Financial Services and Markets Act 2000. UK investors should read the Appendix for UK Investors in conjunction with the Fund's Prospectus which are available from the Investment Manager or Administrator.

www.nedgroupinvestments.com. The Company has been recognised under paragraph 1 of Schedule 4 to the Collective Investment Schemes Act 2008 of the Isle of Man.

Isle of Man investors are not protected by statutory compensation arrangements in respect of the Companies.

Nedgroup Investments (IOM) Limited (Reg no 57917C) is licensed by the Isle of Man Financial Services Authority.

The Representative is Acolin Fund Services AG, Maintower, Thurgauerstrasse 36/38, 8050 Zurich, Switzerland, whilst the Paying agent is Banque Heritage SA, Route de Chêne 61, CH-1211 Geneva 6. Nedgroup Investments (IOM) Limited is affiliated to the Swiss ombudsman: Verein Ombudsstelle Finanzdienstleister (OFD), Bleicherweg 10, CH-8002 Zurich.

16. Checklist

If a corporate trustee is applying for shares, on behalf of the Trust, is regulated in an Approved Jurisdiction¹ there may be some exemptions which can be applied in respect of verification documents that will need to be supplied, see Section B.

Individual Trustees are appointed/the corporate trustee is not regulated in an Approved Jurisdiction, and will provide the following certified documents:

- ☐ Fully completed and signed Trust Application Form.
- ☐ A copy of extracts from the Trust Deed, or other founding document, for example a Will.
- ☐ Proof of the current trustees (and proper appointment of trustees), for example:
 - Letters of Authority from Master of the High Court (SA), showing the Trust Number and current Trustees
 - Deed of retirement and appointment
- ☐ A resolution passed by the Board of Trustees authorising the Application Form to be signed.
- ☐ An Authorised Signatory List along with details of the signing requirements, and signatures.
- ☐ Identification verification for each of the following:
 - Settlor
 - Directors / Individual Trustees
 - Authorised Signatories
 - Beneficiaries
- ☐ Residential Address verification for each of the following:
 - Settlor
 - Directors / Individual Trustees
 - Authorised Signatories
 - Beneficiaries
- ☐ If an unregulated corporate trustee is appointed, a copy of the applicable founding documents of the corporate trustee will be required, for example a Certificate of Incorporation, Partnership Agreement or Trust Deed. (if applicable).
- ☐ A duly authorised mandate or resolution of the directors to establish a business relationship.
- ☐ Audited Financial Statements

Notes

- ☐ Verification documentation for the Settlor, Directors, Individual Trustees, Authorised Signatories and Beneficiaries.
 - A current and valid “full” passport bearing your signature
 - A national identity document bearing your signature
 - A current full driving licence bearing your signature

If a document does not have a copy of your signature, ensure that the copy document is signed by the holder(s).

- ☐ One form of address verification confirming the physical residential address for each applicant must be provided. Acceptable documents includes:
 - Copy of utility bill
 - Copy of bank/credit card statement
 - Written confirmation from approved intermediary / reputable financial institution.

Documents supplied must be less than six months old

If you have any questions when completing this form please contact the International Client and Broker Services Team:

Tel: +44 (0) 1624 645150

Fax: +353 1 622 3557

Email: helpdesk@nedgroupinvestments.com

Please send a scanned copy of your completed application form, ID and address verification documents to helpdesk@nedgroupinvestments.com. We will acknowledge receipt. Once the documents have been received we will ask you to send us the originals.