



Applicant Form for Register Funds

(This form must not be used by natural persons)

IMPORTANT: In case you order for the first time, please provide the documents listed below to:

Sal. Oppenheim jr. & Cie. Luxembourg S.A.
Att.:Transfer Agent Desk
4, rue Jean Monnet
L-2180 Luxembourg

The Fund is eligible for Clearstream or Euroclear settlement. Your investment may either be held in an account with Sal. Oppenheim jr. & Cie. Luxembourg S.A. (Option A) or in an account with Clearstream or Euroclear (Option B). If you chose Option B, you will only need to provide your authorized signatories list.

Contract notes detailing trade date & settlement date can only be sent after NAV calculation / publication. You can find this information in the prospectus.

Registration Documents required

Document	Applicant subjected to Financial Services Authority	Applicant not subjected to Financial Services Authority
Account Opening Form (original)	mandatory	mandatory
W-8BEN-E or W-8EXP or W-8 IMY	mandatory	mandatory
Authorized Signatories List	mandatory	mandatory
Payment Instructions incl. Contact Person and Contact Details	mandatory	mandatory
Certified true copy of Certificate of Incorporation	optional	mandatory
Certified true copy of extract from commercial/companies register	optional	mandatory
Certificate of Good Standing / Incumbency	optional	mandatory
Certified true copy of Memorandum and Articles of Incorporation/Association	optional	mandatory



Account Opening Form

SECTION 1 – APPLICANT INFORMATION

General information

Applicant name **3T**

Country of incorporation **3T**

Registered address **3T**

Correspondence address
(if different) **3T**

Legal form

☐ Public company

☐ Investment/Mutual Fund

☐ Private company

☐ State/Authority

☐ Listed company

☐ Fund manager / fund administrator

☐ Other: **3T**

Sector

☐ Bank

☐ Other: **3T**

Information on regulatory status

Is the Applicant regulated by
a financial supervisory
authority in a FATF country¹?

☐ Yes

☐ No

Regulation number (if
applicable) **3T**

Name of financial supervisory
authority **3T**

Website of financial supervisory authority showing the name of the Applicant: **3T**

Group affiliation

(parent company) **3T**

Is one of the partners or ☐ No

☐ Yes

managers of the Applicant a

PEP (politically exposed

person) according to Directive

2006/70/EC

Information for listed companies

Name of stock exchange / market on which the Applicant is listed:

3T

Please provide evidence of the listing.

¹ Argentina, Australia, Austria, Belgium, Brazil Canada, China Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland India, Ireland, Italy, Japan, Republic of Korea, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States (situation as of May 2014).



Applicants which are listed on non-equivalent exchanges / markets are requested to provide details about their ultimate beneficial owner(s) on a separate sheet. A list of approved exchanges / markets is appended.

Beneficial ownership of investment

- ☐ We are an entity regulated by a financial services authority in a FATF country and are investing as an intermediary on account of our client(s) other than investment funds. *Please proceed to section 2.*
- ☐ We are a fund manager or a fund administrator and are acting on behalf of investment funds managed or administered by us. *Please proceed to section 3.*
- ☐ We are not an entity regulated by a financial services authority in a FATF country and are investing on behalf of someone else who is the ultimate beneficial owner. *Please proceed to section 4.*
- ☐ We are not a regulated entity and are the ultimate beneficial owner of the investment. *Please indicate the origin of funds and proceed to section 5.*

Origin of funds:

3T

Contact details

Contact person **3T**

Telephone **3T**

Fax No. **3T**

E-mail **3T**

Use of dividends

- ☐ Cash Payment ☐ Reinvestment

SECTION 2 – ANTI-MONEY LAUNDERING

(for applicants that are subjected to a financial services authority in a FATF country acting on behalf of clients other than investment funds)

The Applicant confirms to have put into place and to implement effective and adequate internal procedures and controls to prevent and avoid utilization of the investment funds for which Sal. Oppenheim jr. & Cie. Luxembourg S.A. („SOPL“) acts as registrar and/or transfer agent for the purpose of money laundering or terrorism financing, and to detect and intercept money laundering channels or chains.

The Applicant confirms to SOPL and to each fund for which an order is transmitted to SOPL:

- The Applicant substantiates, at regular intervals, on the basis of probative official documents, the true identity of all of its clients and their authorized representatives, both regular and occasional, including the investors into the funds for which orders are transmitted to SOPL and, where its clients are not acting on their own behalf, of the ultimate beneficial owners of their clients (collectively referred to as the “Clients”).
- The Applicant keeps records of the Client identification documents for a period of at least five years after the end of its relationship with the Client.
- If so requested by SOPL or a relevant fund, the Applicant will be able to promptly make available Client identification documents to the requesting entity.
- The Applicant's procedures to prevent money-laundering include the monitoring of Client transactions, including, but not limited to, the monitoring of the source and destination of monies, the review of the purpose and object of the transaction, and, with a risk-based approach, applying enhanced monitoring procedures to transactions which the Applicant identifies as unusual in their size, conditions or nature.



- The Applicant notifies government/supervisory authorities of suspicious activity.
- The Applicant's internal procedures and controls include an AML training program designed to deliver information to its employees who would reasonably be expected to encounter potentially suspicious activity.
- The Applicant screens all of its Clients for politically exposed persons and against the international watch lists contained in regulations concerning the identification and declaration of business relationships with suspected terrorist groups, persons or entities, or country subject to embargo.
- The officers and employees of the Applicant comply strictly with all related procedures and controls in place.
- The Applicant confirms not to be a shell bank and not to accept shell banks as clients.

The above confirmations shall be deemed reiterated each time an order is transmitted to SOPL and shall continue throughout the period during which investments in the funds for which SOPL acts as registrar and/or transfer agents are held by the Applicant. The Applicant commits to inform SOPL immediately if it ceases to be regulated.

Name and contact of the responsible AML officer:

3T

If the Applicant is not in a position to give the confirmations above or if the Applicant does not have a designated AML officer, the Applicant is requested to provide further details.

Please proceed to section 5.

SECTION 3 – ANTI-MONEY LAUNDERING FOR INVESTMENT FUNDS

(for applicants that are fund managers or administrators acting on behalf of investment funds managed or administered by them)

Please complete the anti-money laundering questionnaire for investment funds. The questionnaire should be printed out on company letter headed paper and be signed by two authorised individuals (e.g. Legal or Compliance).

Please proceed to section 5.

SECTION 4 – ULTIMATE BENEFICIAL OWNER INFORMATION

(for applicants that are not subjected to a financial services authority in a FATF country)

The ultimate beneficial owner is the person or company who has the economic benefit of the investment.

In case of a change of the ultimate beneficial owner, the Applicant commits to inform SOPL immediately of the new ultimate beneficial owner.

Company name **3T**

Jurisdiction of incorporation **3T**

Registered address **3T**

Business activity **3T**

Origin of funds **3T**

Full names of natural persons or companies owning more than 20% of the assets of the company

Name **3T**



Name	3T
Name	3T
Name	3T
Name	3T
Signatures of ultimate beneficial owner	Date: 3T
	<div style="display: flex; justify-content: space-between;"> <div>Name: 3T</div> <div>Name: 3T</div> </div>

SECTION 5 – APPLICANT DECLARATIONS AND SIGNATURES

By signing hereunder, the Applicant declares to have read and to agree to the appended Terms and Conditions.

The Applicant declares that the information set out in this application form (including the information contained in the registration documents provided separately) is true, complete and not misleading. The Applicant undertakes to inform Sal. Oppenheim jr. & Cie. Luxembourg S.A. of any changes, or if any information ceases to be true, complete or becomes misleading, without delay and in any event not later than 90 days after such change occurred or after the information ceases to be true, complete or becomes misleading.

On behalf of the Applicant (insert name): 3T

3T
Place

3T
Date

3T
Authorised Signatory 1 (print name)

3T
Authorised Signatory 2 (print name)

3T
Title

3T
Title

Signature

Signature



Terms and Conditions

The following terms and conditions shall apply to all investment fund orders.

1. Definitions

Applicant is the person ordering Fund Units with the Transfer Agent, whether acting on own account or on account of its underlying clients.

Applicable Laws means all applicable statutory authority (including any code, order, regulation, instrument or subordinate legislation) and other laws whether in Luxembourg or elsewhere and all applicable statements of principles, rules, guidelines, regulations or requirements of or issued by any relevant regulatory or supervisory authority or professional body, including any tax authority, whether in Luxembourg or elsewhere.

CSSF means the *Commission de surveillance du secteur financier*, the Luxembourg regulator of the financial sector.

FATF means the Financial Action Task Force.

Constitutive Documents means the articles of incorporation or the management regulations of a Fund, as amended from time to time.

Fund Documents means the Constitutive Documents, the Prospectus and the latest available semi-annual and/or annual reports of a Fund.

Fund Units means shares or units in a Fund.

Funds means the investment funds for which the Transfer Agent acts as registrar and/or transfer agent and **Fund** means any of them. Any reference to a Fund includes, where relevant, a reference to a sub-fund.

Order(s) means any order(s) transmitted to the Transfer Agent for the subscription, redemption, conversion/switch or transfer of Fund Units.

Prospectus means the current prospectus or issuing document issued by or in respect of each Fund, as supplemented or amended from time to time.

Terms and Conditions means these terms and conditions that form part of all Orders, as supplemented or amended from time to time.

Transfer Agent means Sal. Oppenheim jr. & Cie. Luxembourg S.A., including its legal successors or assigns.

US Person(s) has the meaning ascribed thereto in the Prospectus of a Fund.

2. Subject matter

These Terms and Conditions relate to the subscription, redemption, conversion/switch and transfer of Fund Units and the Applicant agrees to be bound by these Terms and Conditions, the Constitutive Documents and the Prospectus. The Applicant acknowledges and accepts that it is the Applicant's sole responsibility to determine if a particular Fund is a suitable investment and that the characteristics of any Fund may be modified from time to time or that a Fund may be merged or liquidated in accordance with Applicable Laws. The Transfer Agent reserves the right to reject either on whole or in part any Order which is not completed in full and supported by the documentation requested by the Transfer Agent, payment with good value or for any other reason at its sole discretion. Failure to attach all documentation requested by the Transfer Agent may result in a delay in Orders being processed. The Transfer Agent expressly declines any liability for losses arising out of delays thus caused. The Transfer Agent reserve the right to request additional information and documentation, including, but not limited to, translations and certifications relating to such additional request(s) from the Applicant and its client(s) in compliance with the laws and regulations in force from time to time. Orders and any accounts opened may be suspended until all identification documents have been provided to the Transfer Agent in form and substance satisfactory to it.

3. Prevention of Money Laundering

All Applicants regulated in a country other than a FATF country must provide information on their ultimate beneficial owner and provide all the documentation requested by the Transfer Agent. The Applicant understands and accepts that due to the changing nature of anti-money laundering laws and regulations and possible extensions of applicable rules, the Transfer Agent may update and amend its procedures as might be required from time to time to comply with such changes. In compliance with anti-money laundering laws and regulations applicable in the Grand Duchy of Luxembourg, the Transfer Agent may require further identification of the Applicant, including its client(s), before an Order can be processed or dividend or redemption proceeds paid out. Subscription monies from a third party cannot be accepted. Redemption proceeds cannot be paid to a third party.

4. Subscription Orders

Orders for the subscription of Fund Units will only be processed after the receipt of the full subscription amount.

5. Redemption Orders

Orders for the redemption of Fund Units will be carried out in accordance with the provisions of the Fund Documents, including, where relevant, in accordance with the provisions on deferred or extended settlement.

6. Compliance with Fund Documents and local rules on fund distribution

The Applicant shall be aware of the Applicable Laws and the terms of the Constitutive Documents and the Prospectus of the Fund and undertakes to observe them. The Applicant is aware of the risks associated with investments in a Fund. The Applicant confirms having informed its client(s) as required under Applicable Law. The Applicant shall not allow the purchase, holding or transfer of Fund Units by persons not authorized to purchase or to hold them under the provisions of the Fund Documents and under Applicable Laws. The Applicant undertakes to implement all appropriate and effective measures to ensure that the Fund Units may not be transferred by its client(s) to a transferee that is not allowed to invest into the Fund under Applicable Laws. The Applicant undertakes not to advertise for clients, solicit clients or sell any of the Funds unless the Applicant has taken adequate and effective measures to ensure compliance with the Fund Documents and the Applicable Laws.

7. Restrictions on Sale

The Fund Units are not available to or for the benefit of US Persons. The Applicant represents and warrants that it is not a US Person and is not subscribing for Fund Units on behalf of such person(s).



8. Late trading and marketing timing

The Applicant undertakes to comply with the provisions of the CSSF Circular 04/146 on late trading and market timing (as such circular may be updated from time to time). The Transfer Agent will report those transactions to the CSSF.

9. Instructions

All notices, reports, statements, documents and communications will be sent at the risk of the Applicant by such means of communication as agreed between the Applicant and the Transfer Agent.

Instructions may be given by fax at the risk of the Applicant. The Applicant assumes all risks and in particular those arising from delays in delivery, errors in communication or comprehension including errors as to the information contained in the Order. The Applicant agrees to hold the Transfer Agent and the Fund harmless against and from all actions, proceedings, claims, losses, damages, costs and expenses (including reasonable legal costs) in this respect.

The Applicant shall check the accuracy of the details contained in the contract notes and statements of accounts sent by the Transfer Agent. Failure to report any inaccuracy within five Luxembourg business days of their dispatch will result in the confirmation details to be deemed accurate by the Applicant.

10. Telephone recordings

The Applicant accepts that telephone-recording procedures may be used and agrees that these records may be used in court or similar proceedings.

11. Fraudulent use of signature

Neither the Fund nor the Transfer Agent shall be liable for the fraudulent use by a third party of the signature of the Applicant or its authorised signatories, whether these signatures be authentic or forged ("Fraudulent Instruction"). Except in the event of gross negligence on the part of the Fund and/or the Transfer Agent in the verification of the signatures and signatory powers on the documentation, the Fund and/or the Transfer Agent shall not be liable for any damage, loss, expense or liability of any nature which the Applicant may suffer due to the reliance by the Fund or the Transfer Agent on a Fraudulent Instruction which the Fund or the Transfer Agent believes in good faith to be genuine and to have been given or signed by the Applicant.

12. Confidentiality

The Transfer Agent agrees to keep all information concerning the Applicant and its client(s) confidential unless required or authorized to disclose such information to third parties by applicable laws and regulations or by instruction of the Applicant. The Applicant accepts that information concerning the Applicant, its client(s) and their investments in the Funds may be disclosed to external parties such as the fund sponsor, the manager or the advisor of a Fund or to affiliated entities of the Transfer Agent to the extent necessary to provide enhanced shareholders' related services and that personal details may be used outside Luxembourg and may therefore be potentially subject to the scrutiny of regulatory or tax authorities outside Luxembourg.

13. Data Protection

The Applicant acknowledges and agrees that the Applicant's details will be held by the Fund and the Transfer Agent and may be subject to data processing. The Applicant will have access to its details and will be entitled to request relevant amendments to such details in accordance with Luxembourg data protection laws.

14. Customer Complaints

Details of the customer complaint policy of the Transfer Agent are available upon request. All customer complaints may be sent to compliance@oppenheim.lu.

15. Indemnity

The Applicant will indemnify upon first request the Fund and the Transfer Agent and any other delegates against any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred by them arising out of or in connection with a breach by the Applicant of these Terms and Conditions or out of the Fund or the Transfer Agent relying on, accepting or failing to act on any instruction or declaration or information given by or on behalf of the Applicant unless due to the wilful default, gross negligence or fraud of the Fund or the Transfer Agent.

The Transfer Agent will indemnify the Applicant for direct damages only and solely to the extent of its gross negligence, wilful default or fraud. The Transfer Agent will in no way indemnify indirect or consequential damages suffered by the Applicant.

16. Amendments to Terms and Conditions

The Transfer Agent reserves the right to amend these Terms and Conditions. Amendments shall be posted on the website of the Transfer Agent or communicated to the Applicant by any other means of communication deemed appropriate by the Transfer Agent (in the sole discretion of the Transfer Agent). The Applicant agrees, subject to the remainder of this clause, to be bound by any amendments to these Terms and Conditions. If the Transfer Agent, in its sole discretion, deems an amendment to be material, then such amendment will be notified to the Applicant by any means deemed appropriate by the Transfer Agent. Unless the Applicant objects to the contemplated amendment within one calendar month after such amendment was notified to it by written notice to the Transfer Agent, such amendment shall be deemed approved by the Applicant. Amendments required by any relevant law, rule, ode or regulation shall be applicable immediately upon becoming effective.

17. Severance

If any provision or clause of these Terms and Conditions is or becomes void or unenforceable in whole or in part for any reason such enforceability or invalidity shall not affect the validity of the remaining Terms and Conditions. Terms and Conditions corresponding in sense shall replace the invalid terms and conditions.

18. Final Provisions

These Terms and Condition form an integral part of each Order.

19. Applicable Laws and Jurisdiction

These Terms and Conditions and each Order, including any non-contractual rights and obligations arising out of or in relation therewith, are governed by the laws of the Grand Duchy of Luxembourg. The Luxembourg courts shall have exclusive jurisdiction over any disputes between the parties arising out of or in relation with these Terms and Conditions, including the Orders.



Information about Sal. Oppenheim jr. & Cie. Luxembourg S.A.

Sal. Oppenheim jr. & Cie. Luxembourg S.A. is a credit institution incorporated and existing under the laws of the Grand Duchy of Luxembourg, with registered office at 4, rue Jean Monnet, L-2180 Luxembourg, registered with the Luxembourg Trade and Companies Register under the number B 110.890. Sal. Oppenheim jr. & Cie. Luxembourg S.A. is supervised by the Luxembourg regulator of the financial sector, the Commission de surveillance du secteur financier (CSSF) (www.cssf.lu) and by the Luxembourg data protection authority, the Commission nationale pour la protection des données (CNPd) (www.cnpd.public.lu).

May 2014



Settlement details

Trade Information	Sal.Oppenheim jr & Cie Luxembourg S.A. Fax + 352 - 22 15 22 600 Attn: TA Desk
Contact Details	Transfer Agent Team Phone +352 – 22 15 22 778
Trade Confirmations	Sent by TA on T+1 after NAV publication
Settlement details for subscriptions: (Option A. or B.)	<u>Option A</u> (account held at Sal. Oppenheim jr. & Cie. Luxembourg S.A.) Please find below our standing payment instructions.

Option B (account held at Clearstream or Euroclear)
Clearstream / Euroclear settlement
Our Clearstream account: 10011

For fractional shares or units, minimum initial investment, minimum subsequent investment and cut-off times please refer to the current prospectus of the fund



Payment Instructions Sal. Oppenheim jr. & Cie. Luxembourg S.A. (SOPPLULX)				
Currency	Correspondent Bank	SWIFT-Code	cut-off CET	Account No.
AUD	Australia & New Zealand Banking Corporation, Melbourne	ANZBAU3M	13:00(D-1)	538116-001
CAD	Canadian Imperial Bank of Commerce, Toronto	CIBCCATT	13:00	1810413
CHF	Banque Internationale à Luxembourg, Luxembourg	BILLLULL	13:00	LU230024405130154000
CZK	Ceskoslovenska Obchodni Banka AS	CEKOCZPP	11:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		CZ27030000801006665163653
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU580024405130181500
CNY	Bank Of China, Hong Kong	BKCHHKHH838	08:00(D-2)	N/A
	Bank Of China, Luxembourg	BKCHLULL		
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU890024405130114400
DKK	Skandinaviska Enskilda Banken, Copenhagen	ESSEDKKK	11:30	5295-0017004107
EUR	Banque Internationale à Luxembourg, Luxembourg	BILLLULL	16:00	LU160024405130100000
GBP	National Westminster Bank PLC, London	NWBKGB2L	13:00	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		4400010007008
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU280024405130151000
HKD	Hong Kong & Shanghai Banking Corp. Hong Kong	HSBCHKHHHKH	10:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		002-344323-001
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU090024405130162400
HUF	ING Bank Hungary, Budapest	INGBHUHB	11:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		HU58137770160523756000000000
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU960024405130158700
ISK	Islandsbanki hf	GLITISRE	12:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU440024405130112300
JPY	The Bank of Tokyo-Mitsubishi Ltd., Tokyo	BOTKJPJT	13:00(D-1)	653-0407720
MXN	Banco Nacional de Mexico, Mexico-City	CITIUS33MER	12:00	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		4088018
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU050024405130116300
NOK	Skandinaviska Enskilda Banken, Oslo	ESSENOKX	11:30	9750.02.03386
NZD	Australia & New Zealand Banking Corporation, Wellington	ANZBNZ22	13:30(D-1)	538116NZD00001
PLN	Bank Polska Kasa Opiecki Spolka Akcyjna, Warszawa	PKOPPLPW	11:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		PL77124000013126029111120301
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU750024405130161600
RON	BRD-GROUPE SOCIETE GENERALE SA Roumanie	BRDEROBU	12:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		RO97BRDE427SV00013864270
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU690024405130174900
	JSC VTB Bank, Moscow	VTBRRUMM	16:00(d-2)	30101810700000000187 BIK044525187
	East-West United, Luxembourg	EWUBLULL		30111810155550000037
				KIO08605.KPP774487001
RUB	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		N/A
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU380024405130106200
SEK	Skandinaviska Enskilda Banken, Stockholm	ESSESESS	11:00	SE125000000052018519948
SGD	Standard Chartered Bank, Singapore	SCBLSGSG	10:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		102394245
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU550024405130154200
THB	Standard Chartered bank, Bangkok	SCBLTHBX	16:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU160024405130197000
TRY	DenizBank Istanbul	DENITRIS	16:00(D-1)	
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		TR27 0013 4000 0004 4156 9000 02
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU810024405130196800
USD	The Northern Trust Intl Banking Corp., New York	CNORUS33	15:00	105684-20230
ZAR	Standard Bank of South Africa, Johannesburg	SBZAJAJJ	12:00(D-1)	N/A
	Banque Internationale à Luxembourg, Luxembourg	BILLLULL		7558467
	Sal. Oppenheim jr & Cie S.A., Luxembourg	SOPPLULX		LU250024405130104300



Approved Stock Exchange / Markets

No.	Country	Exchange Name	Website address
1	Australia	Australian Securities Exchange	www.asx.com.au
2	Australia	Asia Pacific Exchange Limited (APX)	www.apx.com.au
3	Australia	National Stock Exchange of Australia	www.nsx.com.au
4	Austria	Vienna Stock Exchange	www.wienerborse.at
5	Belgium	Euronext Brussels	http://www.euronext.com
6	Brazil	Bolsa de Valores, Mercadorias & Futuros de São Paulo	http://www.bmfbovespa.com.br/en-us/home.aspx?idioma=en-us
7	Canada	Toronto Stock Exchange	http://www.tsx.com
8	China	Shanghai Stock Exchange	http://www.sse.com.cn/sseportal/en-us/ps/home.shtml
9	China	Shenzhen Stock Exchange	http://www.szse.cn/main/en/
10	Denmark	Copenhagen Stock Exchange (OMX Nordic Exchange)	http://www.omxnordicexchange.com/
11	Estonia	OMX Nordic Exchange Baltic Market Tallinn	http://www.nasdaqomxbaltic.com/
12	Finland	Helsinki Stock Exchange (OMX Nordic Exchange)	http://www.omxnordicexchange.com/
13	France	Euronext Paris	http://www.euronext.com
14	France	Bourse de Nancy	
15	France	Bourse de Nantes	
16	Germany	Berlin Stock Exchange	http://www.berlinerboerse.de/
17	Germany	Frankfurt Stock Exchange (Main German Stock Exchange)	http://deutsche-boerse.com/dbag/dispatch/en/kir/qdb_navigation/home
18	Germany	Börse Hamburg (Hamburg Stock Exchange)	http://www.hk24.de/HHBoerse/HHBoerse_deutsch/index.jsp
19	Germany	Börse München (Munich Stock Exchange)	http://www.boerse-muenchen.de/
20	Germany	Börse Stuttgart (Stuttgart Stock Exchange)	http://www.boerse-stuttgart.de/
21	Germany	Börse Düsseldorf (Düsseldorf Stock Exchange)	http://www.boerse-duesseldorf.de/
22	Germany	Eurex	http://www.eurexchange.com/index.html
23	Greece	Athens Stock Exchange	http://www.ase.gr
24	Hong Kong	Hong Kong Stock Exchange	http://www.hkex.com.hk
25	Hungary	Budapest Stock Exchange	http://www.bse.hu/online/index_e.html
26	Iceland	Icelandic Stock Exchange (OMX Nordic Exchange)	http://www.omxnordicexchange.com/
27	India	Bombay Stock Exchange (BSE)	http://www.bseindia.com/
28	India	National Stock Exchange of India (NSE)	http://www.nseindia.com/
29	Indonesia	Indonesia Stock Exchange (IDX)	http://www.idx.co.id/
30	Ireland	The Irish Stock Exchange	http://www.ise.ie
31	Italy	Milan Stock Exchange (Main Italian Stock Exchange)	http://www.borsaitalia.it
32	Japan	Tokyo Stock Exchange	http://www.tse.or.jp
33	Japan	TSE - MOTHERS	http://www.tse.or.jp/english/mothers/
34	Japan	JASDAQ	http://www.jasdaq.co.jp/index_e.html
35	Japan	Osaka Securities Exchange	http://www.ose.or.jp
36	Japan	Hercules (Part of the Osaka Stock Exchange)	http://hercules.ose.or.jp/e/
37	Japan	Nagoya Stock Exchange	http://www.nse.or.jp/e/index.html
38	Japan	Centrex (Part of the Nagoya Stock Exchange)	http://www.nse.or.jp/e/index.html
39	Japan	Sapporo Securities Exchange	http://www.sse.or.jp
40	Japan	Fukuoka Stock Exchange	http://www.fse.or.jp
41	Luxembourg	Luxembourg Stock Exchange	http://www.bourse.lu
42	Malaysia	Kuala Lumpur Stock Exchange	http://www.klse.com.my
43	Netherlands	Euronext Amsterdam	http://www.euronext.com
44	New Zealand	New Zealand Stock Exchange	http://www.nzx.com
45	Norway	Oslo Stock Exchange (OMX Nordic Exchange)	http://www.omxnordicexchange.com/
46	Poland	Warsaw Stock Exchange	http://www.gpw.pl/index.asp
47	Portugal	Euronext Lisbon	http://www.euronext.com
48	Singapore	Singapore Stock Exchange	http://www.sqx.com
49	Slovakia	The Bratislava Stock Exchange	http://www.bsse.sk/index2.aspx?LANG=EN
50	Slovenia	Ljubljana Stock Exchange	http://www.ljse.si/cgi-bin/ive.cgi?doc=1468&sid=nSuNojScMLqb1Zx1
51	South Africa	Johannesburg Stock Exchange	http://www.jse.co.za
52	South Korea	Korea Stock Exchange	http://www.kse.or.kr
53	South Korea	KOSDAQ	http://english.kosdaq.com/
54	Spain	Barcelona Stock Exchange	http://www.borsabcn.es/
55	Spain	Madrid Stock Exchange (Bolsa de Valores de Madrid)	http://www.bolsamadrid.es/ing/portada.htm
56	Sweden	Stockholm Stock Exchange (Stockholm Fondbörs) (OMX Nordic Exchange)	http://www.omxnordicexchange.com/
57	Switzerland	Eurex Zurich	http://www.eurexchange.com
58	Switzerland	Swiss Exchange (SWX)	http://www.swx.com



59	Taiwan	Taiwan Stock Exchange	http://www.tse.com.tw
60	Thailand	The Stock Exchange of Thailand	http://www.set.or.th/th/index.html
61	Turkey	Istanbul Stock Exchange	http://www.ise.org/Home.aspx
62	UK	London Stock Exchange (LSE)	http://www.londonstockexchange.com
63	UK	Euronext LIFFE	http://www.liffe.com/
64	UK	virt-x Exchange Limited	http://www.virt-x.com
65	USA	American Stock Exchange	http://www.amex.com
66	USA	NASDAQ	http://www.nasdaq.com/
67	USA	New York Stock Exchange	http://www.nyse.com



Anti Money Laundering Questionnaire for Investment Funds

Investment Manager or Administrator Name: 3T

Fundname(s): 3T

Name of Regulator (if applicable): 3T

Regulation / Registration Number (if applicable): 3T

Please provide a response to each question below concerning your practices in relation to the identification and verification of investors, sanctions screening and the monitoring and reporting of suspicious transactions:

- 1) Do you have written policies and procedures in place regarding anti-money laundering and Know Your Client practices? Yes/No – If no please provide further details.
 - a. Does the policy reflect a regular process to obtain information about customers that relate to money laundering risk, including name, address and type of business? Yes/No – If no please provide further details.
 - b. Are all investors screened for Politically Exposed Persons, terrorist and blocked person status against international sanctions lists? Yes/No – If no please provide further detail.
 - c. Does the policy reflect a regular process to identify categories of suspicious activity? Yes/No – please provide further details.
 - d. Does the policy reflect a process to notify appropriate government/supervisory authorities regarding suspicious activity? Yes/No – If no please provide further details.
 - e. Does the policy reflect an AML training program designed to deliver information to your employees who would reasonably be expected to encounter potentially suspicious activity? Yes/No – If no please provide further details.
 - f. Does your institution have a Designated Anti-Money Laundering Compliance Officer? Yes/No – If no please provide further details.

Name and contact details of the responsible AML Officer: 3T

- 2) Do you follow the anti-money laundering policies as laid out in local legislation/regulation? Yes/No – If no please provide further details.
- 3) Do you have record keeping requirements for a minimum of 5 years from the cessation of the relationship with an investor? Yes/No – If no please provide further details.

Please provide details on the approximate number of investors (if there are less than ten investors please provide the exact number of investors): 3T

Note: In the case of Master/Feeder fund structures, the investors are the investors in the feeder funds.

- 4) Please confirm whether one or more investor(s) owns/control 25% or more of the investment and if yes, provide below details:
 - a. Natural Person's full name, date of birth and nationality
 - b. Legal Entity's full name and registered address and for any natural person who owns/controls 25% or more of the Legal Entity full name, date of birth and nationality

In relation to 5, should there be any subsequent changes to the ownership or control structure; the beneficial ownership will be declared voluntarily and immediately. We will supply Sal. Oppenheim jr. & Cie. Luxembourg S.A. with any documentation and information in order to establish and prove the submitted details.



Furthermore, we confirm that we are not aware of any activities on the part of the investors that lead us to suspect that the investors are or have been involved in criminal conduct of money laundering. Should we subsequently become suspicious of any such activity then, subject to any legal constraints, we shall inform the AML Officer at Sal. Oppenheim jr. & Cie. Luxembourg S.A. /the relevant regulatory authorities accordingly.

Subject to any legal restrictions, we further confirm that in the event of an enquiry from law enforcement agencies or regulators, copies of the relevant customer details will be made available to Sal. Oppenheim jr. & Cie. Luxembourg S.A., or the regulatory body making the inquiry.

Signed: 3T
Date: 3T
Name: 3T
Position: 3T
Contact Details: 3T

Important note: The questionnaire must be completed by an authorised individual (e.g. Legal or Compliance) from either the investment manager or the administrator of the fund. dglT must be completed on company letter headed paper.