

# J O Hambro Capital Management Umbrella Fund plc

## Application Form: January 2016

Before completing this Application Form, please ensure you have read the Prospectus of the J O Hambro Capital Management Umbrella Fund plc and its Supplements together with the relevant Key Investor Information Document(s). All applicable sections of the Application Form should be completed in full. On completion, the original signed Application Form should be returned to RBC Investor Services Ireland Limited, 4th Floor, One George's Quay Plaza, George's Quay, Dublin 2, Ireland. Please complete this form in BLOCK CAPITALS.

### 1. Details of holders

FIRST HOLDER	SECOND HOLDER
Company/Nominee Name	
<b>OR</b>	
Title (Mr/Mrs/Miss/Other)	Title (Mr/Mrs/Miss/Other)
Forename(s)	Forename(s)
Surname	Surname
Address	Address
Postcode	Postcode
Telephone number	Telephone number
Fax number	Fax number
Email address	Email address
Tax Identification Number (TIN)	Tax Identification Number (TIN)
Passport number	Passport number

NOTE: Contract notes will be sent to the person named and to the address stated under the first holder's details above, or using the fax number or the email address stated under the first holder's details.

### DESIGNATIONS

Please state any account designation. If your holding is on behalf of a minor under 18 years old, the account should be registered in the name of an adult and designated in favour of the child by adding their initials.

### 2. Income distributions and redemptions

Some funds may pay an income distribution from time to time. **(a) Paid to you** to the bank details below

Please state whether you would like any income:

**(b) Reinvested** to automatically purchase extra shares

☐  
☐

Please provide details below of the bank account into which you would like any income payments made (if you have chosen (a) above) and into which you would like your proceeds paid should you choose to redeem your holding at some point in the future. Please ensure you complete this section. Without these details, we will be unable to pay you. **We do not make payments by cheque.** Any dividend unclaimed six years after the date it first becomes payable shall be forfeited and will revert to the Fund without the necessity for any declaration or other action by the Directors, the Fund or the Investment Manager.

Name of bank/building society	
Branch address	
Postcode	
Account number	Account holder
Sort code	Building society ref.

### 3. Investment details

Share class	ISIN	SARA code	AMC	Currency	Min. invest. <sup>1</sup>	Cash amount in figures	Number of shares
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#### JOHCM UK Growth Fund

Share class A	IE0033009345	754	0.75%	GBP	£1,000	£	OR
Share class B	IE0031005543	752	1.25%	GBP	£1,000	£	OR

#### JOHCM Continental European Fund

Share class A	IE0033009121	765	0.75%	GBP	£1,000	£	OR
Share class B	IE0031005436	753	1.25%	GBP	£1,000	£	OR
Share class A Hedged	IE00BSJCJ493	RE6	0.75%	GBP	£1,000	£	OR
Share class A	IE0033009238	764	0.75%	EUR	£1,000	€	OR
Share class B	IE0033009014	763	1.25%	EUR	£1,000	€	OR
Share class A Hedged	IE00BJ4G0G26	RE3	0.75%	USD	£1,000	\$	OR
Share class B Hedged	IE00BJ4G0H33	RE4	1.25%	USD	£1,000	\$	OR

#### JOHCM European Concentrated Value Fund

Share Class A	IE00BW0DJY98	J71	0.75%	EUR	£1000	€	OR
Share Class B	IE00BW0DJZ06	J72	1.25%	EUR	£1000	€	OR
Share Class A	IE00BW0DK020	J73	0.75%	USD	£1000	\$	OR
Share Class A Hedged	IE00BW0DK244	J75	0.75%	USD	£1000	\$	OR
Share Class B	IE00BW0DK137	J74	1.25%	USD	£1000	\$	OR
Share Class B Hedged	IE00BW0DK350	J76	1.25%	USD	£1000	\$	OR

#### JOHCM European Select Values Fund

Share class A	IE0032904223	761	0.75%	GBP	£1,000	£	OR
Share class B	IE0032904009	759	1.25%	GBP	£1,000	£	OR
Share class A	IE0032904330	762	0.75%	EUR	£1,000	€	OR
Share class B	IE0032904116	760	1.25%	EUR	£1,000	€	OR

#### JOHCM Asia ex Japan Fund

Share class A	IE00B3RQ2721	J32	0.90%	GBP	£1,000	£	OR
Share class B	IE00B3ZQS767	J28	1.50%	GBP	£1,000	£	OR
Share class A	IE00B431KK76	J31	0.90%	EUR	£1,000	€	OR
Share class B	IE00B5L49R51	J29	1.50%	EUR	£1,000	€	OR
Share class A	IE00B435PM67	J33	0.90%	USD	£1,000	\$	OR
Share class B	IE00B4114S53	J30	1.50%	USD	£1,000	\$	OR

#### JOHCM Asia ex Japan Small and Mid Cap Fund

Share class A	IE00B6R5LS41	J39	0.90%	GBP	£1,000	£	OR
Share class B	IE00B6R63P81	J35	1.50%	GBP	£1,000	£	OR
Share class A	IE00B6R5VD95	J38	0.90%	EUR	£1,000	€	OR
Share class B	IE00B6R5HM01	J36	1.50%	EUR	£1,000	€	OR
Share class A	IE00B6R5QW32	J40	0.90%	USD	£1,000	\$	OR
Share class B	IE00B6R5YM91	J37	1.50%	USD	£1,000	\$	OR

...continued overleaf

NOTE ABOUT SHARE CLASSES: Share class A is a clean share class and does not pay trailer fees. Share class B pays trailer fees under the UK Retail Distribution Review (RDR) on legacy business prior to 31 December 2012. Trailer fees are only payable on new business from the 1 January 2013 subject to legislation.

<sup>1</sup> Minimum investment, or currency equivalent. NB: Please state whether Sterling, Euro, Japanese Yen or US Dollar.

### 3. Investment details continued

Share class	ISIN	SARA code	AMC	Currency	Min. invest. <sup>1</sup>	Cash amount in figures	Number of shares
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#### JOHCM Emerging Markets Fund

Share class A	IE00B4X6J509	J08	0.90%	GBP	£1,000	£	OR
Share class B	IE00B4W7Q644	J06	1.50%	GBP	£1,000	£	OR
Share class A	IE00B4XR4N63	J09	0.90%	EUR	£1,000	€	OR
Share class B	IE00B4WG5Q49	J07	1.50%	EUR	£1,000	€	OR
Share class A	IE00B4Q8YK30	J11	0.90%	USD	£1,000	\$	OR
Share class B	IE00B4NX0P80	J12	1.50%	USD	£1,000	\$	OR

#### JOHCM Global Emerging Markets Opportunities Fund

Share class A	IE00B4002N46	J24	0.90%	GBP	£1,000	£	OR
Share class B	IE00B41RZ573	J21	1.50%	GBP	£1,000	£	OR
Share class A	IE00B3ZBLW75	J25	0.90%	EUR	£1,000	€	OR
Share class B	IE00B4TRCR07	J22	1.50%	EUR	£1,000	€	OR
Share class A	IE00B4M6CN00	J26	0.90%	USD	£1,000	\$	OR
Share class B	IE00B4XXMP29	J23	1.50%	USD	£1,000	\$	OR

#### JOHCM Global Opportunities Fund <sup>2</sup>

Share class A	IE00B89PQM59	G04	0.75%	GBP	£1,000	£	OR
Share class B	IE00B89JT176	G01	1.50%	GBP	£1,000	£	OR
Share class A	IE00B7MR5575	G05	0.75%	EUR	£1,000	€	OR
Share class B	IE00B80FZF09	G02	1.50%	EUR	£1,000	€	OR
Share class A	IE00B89JY234	G06	0.75%	USD	£1,000	\$	OR
Share class B	IE00B8295C79	G03	1.50%	USD	£1,000	\$	OR

#### JOHCM Global Select Fund

Share class A	IE00B3DBRN27	784	0.75%	GBP	£1,000	£	OR
Share class B	IE00B3DBRL03	783	1.50%	GBP	£1,000	£	OR
Share class A	IE00B3DBRP41	786	0.75%	EUR	£1,000	€	OR
Share class B	IE00B3DBRM10	785	1.50%	EUR	£1,000	€	OR
Share class A	IE00B3T31Z22	793	0.75%	USD	£1,000	\$	OR
Share class B	IE00B5L7L670	794	1.50%	USD	£1,000	\$	OR

#### JOHCM Global Smaller Companies Fund

Share Class A	IE00BW38RD60	J69	0.75%	USD	£1000	£	OR
Share Class B	IE00BW38RF84	J70	1.25%	USD	£1000	£	OR

#### JOHCM US Small Mid Cap Equity Fund

Share class A	IE00BQT49290	J61	0.75%	GBP	£1,000	£	OR
Share class A	IE00BQT49308	J62	0.75%	EUR	£1,000	€	OR
Share class B	IE00BQT49415	J63	1.50%	EUR	£1,000	€	OR
Share class A	IE00BQT49522	J64	0.75%	USD	£1,000	\$	OR
Share class B	IE00BQT49639	J65	1.50%	USD	£1,000	\$	OR

...continued overleaf

NOTE ABOUT SHARE CLASSES: Share class A is a clean share class and does not pay trailer fees. Share class B pays trailer fees under the UK Retail Distribution Review (RDR) on legacy business prior to 31 December 2012. Trailer fees are only payable on new business from the 1 January 2013 subject to legislation.

<sup>1</sup> Minimum investment, or currency equivalent. NB: Please state whether Sterling, Euro, Japanese Yen or US Dollar.

<sup>2</sup> Shareholders should note that all/part of fees and expenses will be charged against the capital of the fund. This will have the effect of lowering the capital value of your investment.

### 3. Investment details

Share class	ISIN	SARA code	AMC	Currency	Min. invest. <sup>1</sup>	Cash amount in figures	Number of shares
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#### JOHCM Japan Fund

Share class A	IE0034388797	769	0.75%	GBP	£1,000	£	OR
Share class B	IE0034388466	766	1.25%	GBP	£1,000	£	OR
Share class A Hedged	IE00B5LD7P60	791	0.75%	GBP	£1,000	£	OR
Share class B Hedged	IE00B6386R19	790	1.25%	GBP	£1,000	£	OR
Share class A	IE0034388805	770	0.75%	EUR	£1,000	€	OR
Share class B	IE0034388573	767	1.25%	EUR	£1,000	€	OR
Share class A	IE0034388912	771	0.75%	JPY	£1,000	¥	OR
Share class B	IE0034388680	768	1.25%	JPY	£1,000	¥	OR

#### JOHCM Japan Dividend Growth Fund <sup>2</sup>

Share class A	IE00BKS8NS44	J55	0.625%	GBP	£1,000	£	OR
Share class A Hedged	IE00BKS8NT50	J56	0.625%	GBP	£1,000	£	OR
Share class A	IE00BKS8NV72	J57	0.625%	EUR	£1,000	€	OR
Share class B	IE00BKS8NW89	J58	1.25%	EUR	£1,000	€	OR
Share class A	IE00BKS8NX96	J59	0.625%	USD	£1,000	\$	OR
Share class B	IE00BQV17P71	J67	1.25%	USD	£1,000	\$	OR
Share class A Hedged	IE00BKWPYF52	J60	0.625%	USD	£1,000	\$	OR

NOTE ABOUT SHARE CLASSES: Share class A is a clean share class and does not pay trailer fees. Share class B pays trailer fees under the UK Retail Distribution Review (RDR) on legacy business prior to 31 December 2012. Trailer fees are only payable on new business from the 1 January 2013 subject to legislation.

<sup>1</sup> Minimum investment, or currency equivalent. NB: Please state whether Sterling, Euro, Japanese Yen or US Dollar.

<sup>2</sup> Shareholders should note that all/part of fees and expenses will be charged against the capital of the fund. This will have the effect of lowering the capital value of your investment.

#### 4. Payment method: either by (A) Bank transfer or (B) CHAPS (GBP only)

##### (A) PAYING BY BANK TRANSFER

If you wish to pay by **BANK TRANSFER**, please pay via SWIFT MT103 and quote the sub-fund, the transaction number and the name of the first applicant. You also need to state below the details of the account from which you will be paying us.

**This account must be in the name of the first applicant.** No third party payments will be accepted. **We do not accept payments by cheque.**

**Please note that settlement is T+3.**

Name of bank/building society	
Branch address	
Postcode	
Account number	Account holder
Sort code	Building society ref.
BIC code (SWIFT)	IBAN code

Please use the bank details below for the relevant currency of your settlement to make your payment via bank transfer.

STERLING (cut off time for GBP payment is 13.30 GMT)		X
Intermediary bank / SWIFT	Bank of America London / BOFAGB22	
Beneficiary bank / SWIFT	RBC Investor Services Bank S.A. Luxembourg / FETALULL	
Final beneficiary / IBAN	J O Hambro collection account / LU10 3416 1548 2232 6400	
Reference	Please state sub-fund and transaction number <sup>1</sup> as your reference.	
JAPANESE YEN (cut off time for JPY payment is 14.30 GMT on value date -1)		X
Intermediary bank / SWIFT	Bank of America Tokyo / BOFAJPJX	
Beneficiary bank / SWIFT	RBC Investor Services Bank S.A. Luxembourg / FETALULL	
Final beneficiary / IBAN	J O Hambro collection account / LU08 3416 1548 2234 7000	
Reference	Please state sub-fund and transaction number <sup>1</sup> as your reference.	
US DOLLAR (cut off time for USD payment is 17.00 GMT)		X
Intermediary bank / SWIFT	Bank of America New York / BOFAUS3N	
Beneficiary bank / SWIFT	RBC Investor Services Bank S.A. Luxembourg / FETALULL	
Final beneficiary / IBAN	J O Hambro collection account / LU29 3416 1548 2230 5300	
Reference	Please state sub-fund and transaction number <sup>1</sup> as your reference.	

EURO (cut off time for EUR payment is 14.30 GMT)		X
Intermediary bank / SWIFT	Bank of America London / BOFAGB22	
<i>In order to benefit as much as possible from local clearing in the Eurozone, it is recommended that you route your payment via the most appropriate Bank of America EUR correspondent bank from this list:</i>	Bank of America Paris / BOFAFRPP	
	Bank of America Frankfurt / BOFADEFX	
	Bank of America Milan / BOFAIT2X	
	Bank of America Madrid / BOFAES2X	
	Bank of America Antwerp / BOFABE3X	
	Bank of America Dublin / BOFAIE3X	
	Bank of America Amsterdam / BOFANLNX	
Beneficiary bank / SWIFT	RBC Investor Services Bank S.A. Luxembourg / FETALULL	
Final beneficiary / IBAN	J O Hambro collection account / LU21 3416 1548 2231 0100	
Reference	Please state sub-fund and transaction number <sup>1</sup> as your reference.	

<sup>1</sup> Your transaction number can be found on your contract note. If you do not yet have a contract note, please use your name as a reference.

##### (B) PAYING BY CHAPS (GBP SETTLEMENT ONLY)

Where possible, we actively encourage investors to pay by SWIFT as outlined above. However, in the case where the SWIFT network is not available to you in the UK, **for GBP currency only**, you may make your payment via CHAPS using the details below. Failure to provide the reference number will result in difficulties in matching the payment and may result in the payment being rejected and returned to you.

Sterling settlement ONLY			
Beneficiary bank	RBC Investor Services Bank, Luxembourg	Account number	2533 5028
Reference	61548223264	Sort code	16-50-50

## 5. Declaration of residence<sup>1</sup>

### I/We hereby represent that EITHER (tick as applicable)

I/We confirm that I am/we are an Irish Resident (as defined in the Prospectus) and am/are acquiring Shares on behalf of, or for the benefit of, an Irish Resident;

First applicant



Second applicant



If you have ticked either of the boxes above, please add your Personal Public Service (PPS) number.

### OR

I am/We are not a US Person nor an Irish Resident (as defined in the Prospectus) and am/are not acquiring Shares on behalf of, or for the benefit of, a US Person or an Irish Resident nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person or an Irish Resident. **For the purposes of this paragraph I/we hereby complete the section below entitled 'Declaration of residence outside the Republic of Ireland'.**

First applicant



Second applicant



## DECLARATION OF RESIDENCE OUTSIDE THE REPUBLIC OF IRELAND

Applicants resident outside the Republic of Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

Terms used in this declaration are defined in the Prospectus. Please select either (A) or (B)

### (A) Declaration on own behalf (\*delete as appropriate)

I/We\* declare that I am/we are\* applying for Shares on my own behalf/our own behalf/on behalf of a company\* and that I am/we are/the company is\* not currently an Irish Resident or Irish Ordinary Resident, and should I/we/the company\* become an Irish Resident, I/we\* will so inform you, in writing, accordingly.

### (B) Declaration as intermediary<sup>2</sup> (\*delete as appropriate)

I/We\* declare that I am/we are\* applying for Shares on behalf of persons who will be beneficially entitled to the Shares, and who to the best of my/our\* knowledge and belief, are neither an Irish Resident or Irish Ordinary Resident, **and**

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 of this application 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 an Irish Resident.

Signature of first holder

Date

Signature of second holder

Date

Signature of intermediary

Date

Intermediary stamp

1 Exempt Irish investors who are entitled to payment without deduction of tax should also request the appropriate alternative declaration form from RBC Investor Services Ireland Limited.

2 An 'intermediary' means a person who (a) carries on a business which consists of, or includes, the receipt of payments, from an investment undertaking resident in the Republic of Ireland, on behalf of other persons, or (b) holds shares in an investment undertaking on behalf of other persons.

## 6. Identification and verification (to be completed by all applicants)

### ANTI-MONEY LAUNDERING: KNOW YOUR CUSTOMER REQUIREMENTS

Under Irish legislation covering anti-money laundering and the taxation of savings, the Company and the Administrator are required to obtain the following documentation to verify the identity, permanent address and tax residency status of all new investors. Please note that the application may not be accepted until all the relevant information has been received. Additional confirmation of identity or authority of the applicant or the source of funds may be required in certain circumstances.

**For a list of Equivalent Countries, please refer to Appendix 1 on page 15.**

#### Documentation which may be required for all individual applicants

1. Personal verification<sup>1, 2</sup> – ONE official photographic document (certified<sup>2</sup>)
2. Address verification<sup>2, 3</sup> – ONE different address verification document (original or certified)

#### Documentation which may be required all corporate entities

1. Memorandum and Articles of Association (Certified true copy)
2. Evidence of registration: certificate of incorporation/extract of the commercial register (Certified true copy)
3. A duly signed and dated original list of shareholders of the company issued on letterhead paper with the allotment per shareholder and the total outstanding shares of the company (Certified true copy)
4. Identification documents of the ultimate shareholders/beneficiaries holding – directly or indirectly – more than 25% of the outstanding shares (or voting rights) of the company as per the relevant section of the guidelines.
5. An original beneficial ownership declaration signed by these ultimate beneficial owners including the confirmation of the origin of the funds
6. IDs/Passports of the two Directors/legal representatives authorised to operate the account (Certified true copy)
7. Certified list of Directors
8. A simple copy or a print-out from the company's website of the latest audited financial report or equivalent
9. A current and dated list on company letterhead of authorised signatories who operate on the account; bearing the full names, powers granted and signature specimen of the authorised individuals

- 1 Acceptable personal verification documents are a certified copy of a passport or a driver's license or national identity card. The certified documents must be in date, show a picture of the person, full name, date of birth and signature of the person.
- 2 Verification documents must be certified by a suitable person/entity, such as; the Companies Registration Office (or the equivalent in the investor's jurisdiction) with regard to incorporation documentation,

#### Documentation which may be required for all other corporate entities<sup>4</sup>

1. Confirmation of name and address
2. Confirmation of regulatory body
3. Original authorised signatory list
4. Original letter of assurance where investing as an intermediary

#### Documentation which may be required for regulated pension fund accounts

1. Confirmation of name and address
2. Pension registration (certified)
3. Original authorised signatory list.

#### Documentation which may be required for a nominee company in certain countries<sup>4</sup>

1. Confirmation of name and address of nominee company
2. Original authorised signatory list for the nominee account
3. Confirmation of name and address of parent of nominee
4. Confirmation of regulatory body of parent of nominee
5. Original authorised signatory list of parent
6. Letter of assurance (nominee) signed by regulated parent company


a notary public, a police officer, an embassy/consular official, a chartered accountant, a practicing solicitor, any designated body. Documents should be stamped with the official stamp of the person, dated and signed by that person.

- 3 Acceptable address verification documents are any ONE of the following: utilities bill, bank statement or credit card statement, social insurance document, household/motor insurance certificate. Each document must originate from a different source, show the full name and residential address of the applicant and must be dated within three months of submission.


- 4 Please refer to Appendix 1 on page 19.

### FIRST HOLDER


Personal verification (ONE document required)

 (state which enclosed)

Address verification (ONE document required)


 (state which enclosed)

Proof of deposit if funds are coming from a non FATF country<sup>5</sup>


 (state which enclosed)

### SECOND HOLDER


Personal verification (ONE document required)

 (state which enclosed)

Address verification (ONE document required)

 (state which enclosed)

Proof of deposit if funds are coming from a non FATF country<sup>5</sup>

 (state which enclosed)

<sup>5</sup> Information can be obtained from the Financial Action Task Force on Money Laundering's website [www.fatf-gafi.org](http://www.fatf-gafi.org)

## 7. To be completed by your Financial Adviser, Nominee or Intermediary

If you are using the services of a Financial Adviser, he/she should complete this section.

Are you/Is your company a designated body in a FATF country? <sup>1</sup>

**YES**



If YES, please complete sections (A), (B) and (C)

**NO**



If NO, please complete section (B) ONLY

<sup>1</sup> Information can be obtained from the Financial Action Task Force on Money Laundering's website [www.fatf-gafi.org](http://www.fatf-gafi.org)

### (A) FINANCIAL ADVISER'S DETAILS

Name
Company
FCA number
Address
Postcode
JOHCM agent code
Email address
Email address for contract notes
Email address for trailer fee statements

**Intermediary MiFID Categorisation** (please select one)

<input checked="" type="checkbox"/>	Retail client
<input checked="" type="checkbox"/>	Professional client
<input checked="" type="checkbox"/>	Eligible counterparty

**Intermediary Type of Business** (please select one)

Please indicate whether the account will be used to transact advised or execution-only business. Please be advised that separate accounts will be required for each type of business.

<input checked="" type="checkbox"/>	Advised business	<input checked="" type="checkbox"/>	Execution-only business
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**Omnibus Accounts** (please select one)

UK Retail Business must be segregated for RDR purposes. In case of an Omnibus account set up, please indicate whether this will be used to handle UK Retail investments. If it will, all instructions on the account will be subject to RDR rules.

<input checked="" type="checkbox"/>	Omnibus Account with UK Retail Business	<input checked="" type="checkbox"/>	Omnibus Account: No UK Retail Business
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### (B) PAYMENT OF TRAIL COMMISSION <sup>2</sup>

Please state if trail commission is to be paid as cash or shares. If neither box is ticked we will reinvest to buy shares. <sup>2</sup>

<input checked="" type="checkbox"/>	CASH	<input checked="" type="checkbox"/>	SHARES
Please complete bank account details and Adviser's Stamp		Please supply your Adviser's Stamp only	

Financial adviser/Nominee/Intermediary stamp
--

Account holder
Account number
Sort code
IBAN code
Buidling society ref.

<sup>2</sup> This will only apply if you have completed section A and you are entitled to receive this under UK RDR regulations.

### (C) VERIFICATION OF CLIENT'S IDENTITY

**I/We declare that I/we have verified the identification of the investor. I/We will retain documentary evidence of this verification process and will provide this documentary evidence if so required.**

Regulatory body
Regulatory number



## 8. UK regulatory restrictions on paying commission (RDR)

If you are an intermediary undertaking business in the UK you may be in scope for RDR, in which case certain restrictions may apply in respect of the payment of commissions. In order to determine whether or not you are in scope for RDR and whether commissions are payable on the account, **please answer the following two questions.**

Please confirm if any of the following statements applies to your business:

- (i) We are an entity established in the UK and regulated by the UK's Financial Conduct Authority (the "FCA");
- (ii) We are an overseas branch of an entity which is regulated by the UK's FCA;
- (iii) We are a UK branch of an entity domiciled in the EEA undertaking business in the UK pursuant to EEA Single Market passporting rights.

YES ☒

NO ☒

**If you have answered YES to Question 1**, then please go to Question 2.

**If you have answered NO to Question 1** then we will assume that you are not in scope for RDR and your account will be allowed to attract commission.

### QUESTION 2

Please answer each of the following questions with regard to your underlying clients:

- (i) Are any of the underlying clients of this account "retail clients" (which can include high-net worth individuals and sophisticated individual investors that have not opted-up to professional client status)?

YES ☒

NO ☒

**If you have answered YES to all of Question 2**, then the RDR Rules will apply and your account will be flagged "commission banned".

- (ii) Are any of these "retail clients" located (whether permanently, temporarily or on an ad hoc basis) in the UK?

YES ☒

NO ☒

**If you have answered NO to any of Question 2**, then we will assume that the RDR Rules will not apply and your account will be flagged "commission allowable". If your account should be flagged as "commission banned" please provide your FCA number, or country equivalent, in the section below.

- (iii) When distributing funds to these clients, do you provide or do you intend to provide personal recommendations/advice (e.g. to buy or sell)?

YES ☒

NO ☒

### FIRM REFERENCE NUMBER

Please provide your FCA number, or country equivalent

**Please note that it is your responsibility to ensure on an ongoing basis that any accounts which have been flagged "commission allowable" are not used for advised, retail clients in the UK.**

## 9. Declaration and authorisation

**I/We hereby agree to be bound by the J O Hambro Capital Management Umbrella Fund plc Prospectus current at the date of this application and by the Supplements to that Prospectus as well as any subsequent Addendums.**

I/We confirm that I/we am/are 18 years of age or over.

I/We have answered the question regarding whether or not I am/we are a US Person or an Irish Resident, and, if relevant, have completed the section entitled 'Declaration of residence outside the Republic of Ireland' on the fifth page of this Application Form.

I/We declare that the information on this completed Application Form is correct to the best of my/our knowledge. I/We confirm that I/we have received, read and understood the Key Information Document(s) for the fund(s) and classes to which this subscription relates. I/We hereby confirm that for any subsequent investments I/we will obtain and read the latest version of the appropriate Key Information Document(s) prior to each subscription. I/We agree to the Terms and Conditions and I/we agree to be bound by them. I/We will confirm to J O Hambro Capital Management Limited in writing immediately of any change in my/our circumstances. I/We understand that this application is subject to acceptance by J O Hambro Capital Management Limited.

I/We agree that the issue and allotment to me/us of Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we am/are not relying on any information or representation other than such as may be contained in the Prospectus and the relevant Supplements thereto.

I/We hereby agree to indemnify and keep indemnified the Fund and any relevant sub-fund and each of the Manager and the Administrator against any loss arising to it or them as a result of any breach of any representation, warranty, covenant or confirmation by me/us in this application form or from our failure to disclose any relevant details or provide the Fund with all information requested by it or by the Administrator on its behalf.

In the case of delay or failure to provide satisfactory information, the Administrator may take such action (including declining to accept an application) as it thinks fit. I am/We are fully empowered and have the authority to make this investment whether the investment is my/our own or is made on behalf of another person or Institution.

I/We agree to provide these confirmations to the Administrator at such times as the Administrator may request, and to provide on request such Certificates, documents or other evidence as the Administrator may reasonably require to substantiate such representations.

I/We agree to notify the Administrator immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to seek or to tender to the Administrator for redemption a sufficient number of Shares to allow the confirmation to be made.

The Manager and the Administrator are hereby authorised and instructed to accept and execute any instructions in respect of

the Shares to which this application relates given by me/us in written form or by facsimile. If the instructions are given by me/us by facsimile, I/we undertake to confirm them in writing. I/We hereby agree to indemnify each of the Manager 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 any of them acting upon facsimile instructions.

The Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I/We request that the Shares issued pursuant to this application are registered in the name and address of the first applicant.

In signing this Application Form, I/we hereby consent to the Company and its delegates and its or their duly authorised agents and any of their respective related, associated or affiliated companies holding, using, disclosing and processing my data:

- (i) to manage and administer my/our holding in the Company and any related accounts on an on-going basis;
- (ii) for any other specific purposes where I/we have given specific consent to do so;
- (iii) to comply with the provisions of the U.S. Foreign Account Tax Compliance Act ("FATCA") and avoid the imposition of U.S. federal withholding tax;
- (iv) to comply with the laws and regulations implementing the Common Reporting Standard ("CRS") (See Appendix 2 – CRS Customer Information Notice for further information) and any other tax reporting obligations;
- (v) to carry out statistical analysis; and
- (vi) For disclosure or transfer whether in Ireland or anywhere in the world including without limitation the United Kingdom but only to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above.

You will hold any personal information provided to you in confidence and in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act, 2003.

### Joint applicants

In respect of joint applicants only, we direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or manager of such survivor or survivors.

We confirm that we also have the right and authority in this regard to request the redemption of Shares and confirm that we will comply with the redemption procedures set out in the Prospectus and the relevant Supplements thereto.

I/We agree that there shall be no redemption rights for Shares until:

- (1) full payment of subscription monies has been received by the Company from me/us;
- (2) an original Application Form has been received by the Administrator; and
- (3) all the necessary anti-money laundering checks have been satisfactorily completed.

I/We further acknowledge that I/we may be liable to pay interest in respect of overdue or unpaid subscription monies.

**This 'Declaration and authorisation' continues on the next page.  
Please ensure you read and understand it and sign at the end.**

## 9. Declaration and authorisation continued

### ENTITY SELF-CERTIFICATION (NON PRIVATE INVESTORS)

#### Instructions for completion

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 in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form 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/aeol/index.html> or the following link: <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 ensure that we are advised of these changes promptly.

(Mandatory fields are marked with a \*)

**Investors that are individuals should not complete this form and should complete the form entitled "Individual Self-Certification for FATCA and CRS".**

#### Section 1: Investor Identification

Investor name*		Country of incorporation	
<b>Current registered address*</b>		<b>Mailing address (if different from registered address)</b>	
No.	Street	No.	Street
City, Town, State, Province or County		City, Town, State, Province or County	
Postcode		Postcode	
Country		Country	

#### Section 2: FATCA Declaration Specified US Person

Please tick either (a) or (b) and complete as appropriate:

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> (a) The Entity <b>is</b> a Specified US Person and the Entity's US federal taxpayer identification number (US TIN) is as follows:<br><div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div> | <input checked="" type="checkbox"/> <b>OR</b> (b) The Entity <b>is not</b> a Specified US Person (please also complete sections 3 and 4)<br><br><input checked="" type="checkbox"/> <b>OR</b> (b) The Entity is a US person but NOT a Specified US Person (please also complete sections 3, 4 and 5) |
|---|--|

## 9. Declaration and authorisation continued

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

The information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5.

#### 3.1 Financial Institutions under FATCA:

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2

<input checked="" type="checkbox"/>	i. Irish Financial Institution or a Partner Jurisdiction Financial Institution
<input checked="" type="checkbox"/>	ii. Registered Deemed Compliant Foreign Financial Institution
<input checked="" type="checkbox"/>	iii. Participating Foreign Financial Institution

#### 3.2 Please provide the Entity's Global Intermediary Identification Number (GIIN)

#### 3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:

<input checked="" type="checkbox"/>	i. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN: Sponsor's name <span style="float: right;">Sponsor's GIIN</span>
<input checked="" type="checkbox"/>	ii. Exempt Beneficial Owner
<input checked="" type="checkbox"/>	iii. Certified Deemed Compliant Foreign Financial Institution (including a deemed complaint Financial Institution under Annex II of the Agreement)
<input checked="" type="checkbox"/>	iv. Non-Participating Foreign Financial Institution
<input checked="" type="checkbox"/>	v. Excepted Foreign Financial Institution

#### 3.4 Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please tick one of the below categories:

<input checked="" type="checkbox"/>	i. Active Non-Financial Foreign Entity
<input checked="" type="checkbox"/>	ii. Passive Non-Financial Foreign Entity (if this box is ticked, please include self-certification forms for each of your Controlling Persons)
<input checked="" type="checkbox"/>	iii. Excepted Non-Financial Foreign Entity

### Section 4: CRS Declaration of Tax Residency (you may choose more than one country)

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 associated tax identification numbers ("TIN")).

NOTE: Provision of a TIN is required unless you are a tax resident in a Jurisdiction that does not issue a TIN.

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.

Country of tax residency	TIN	Country of tax residency	TIN

## 9. Declaration and authorisation continued

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

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

#### 5.1 Financial Institutions under CRS:

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

<input checked="" type="checkbox"/>	i. Financial Institution under CRS (other than ii below)
<input checked="" type="checkbox"/>	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 Form for each of your Controlling Person(s)**)

#### 5.2 Non Financial Institutions under CRS:

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

<input checked="" type="checkbox"/>	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
<input checked="" type="checkbox"/>	ii. Active Non-Financial Entity: a Government Entity or Central Bank
<input checked="" type="checkbox"/>	iii. Active Non-Financial Entity: an International Organisation
<input checked="" type="checkbox"/>	iv. Active Non-Financial Entity: other than i, ii or iii (for example a start-up NFE or a non-profit NFE)
<input checked="" type="checkbox"/>	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 Persons

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(s) will be the natural person(s) who hold the position(s) of senior managing official(s) 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-and-related-commentaries/#d.en.345314>

### Section 6: Declarations and Undertakings

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

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

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

Authorised signature(s)*	Authorised signature(s)*
Print name(s)*	Print name(s)*
Capacity in which declaration is made*	Capacity in which declaration is made*
Date (dd/mm/yy)*	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> </div>

## 9. Declaration and authorisation continued

### INDIVIDUAL SELF-CERTIFICATION - FOR PRIVATE INVESTORS (FIRST HOLDER) FOR FATCA AND CRS

#### Instructions for completion

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 in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form 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/aeol/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 ensure that we are advised of these changes promptly.

**Sections 1, 2, 3 and 5 must be completed by all investors.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.** For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

(Mandatory fields are marked with a \*)

#### Section 1: Investor Identification

Investor name	
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Town or city of birth	Country of birth
Fund name J O Hambro Capital Management Umbrella Fund PLC	
<b>Residential address</b>	
No.	Street
City, Town, State, Province or County	
Postcode	
Country	
<b>Mailing address (if different from residential address)</b>	
No.	Street
City, Town, State, Province or County	
Postcode	
Country	

#### Section 2: FACTA Declaration of US Citizenship or US Residence for tax purposes

Please tick either (a) or (b) and complete as appropriate:

☒ (a) I confirm that **I am/the investor is** a US Citizen and/or Resident in the US for tax purposes and my/its US federal taxpayer identification number (US TIN) is as follows:

☐ **OR** (b) I confirm that **I am not/the investor is not** a US Citizen or Resident in the US for tax purposes.

## 9. Declaration and authorisation continued

### Section 3: CRS Declaration of Tax Residency (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.

NOTE: Provision of a TIN is required unless you are a tax resident in a Jurisdiction that does not issue a TIN.

Country of tax residency	TIN	Country of tax residency	TIN

### Section 4: Type of Controlling Person

ONLY to be completed by any individual who is a Controlling Person of an Entity investor which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution). For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person.

Please confirm what type of Controlling Person applicable under CRS applies to you/the investor by ticking the appropriate box

	Entity name
<input checked="" type="checkbox"/> Controlling Person of a legal person: control by ownership	
<input checked="" type="checkbox"/> Controlling Person of a legal person: control by other means	
<input checked="" type="checkbox"/> Controlling Person of a legal person: senior managing official	
<input checked="" type="checkbox"/> Controlling Person of a trust: settlor	
<input checked="" type="checkbox"/> Controlling Person of a trust: trustee	
<input checked="" type="checkbox"/> Controlling Person of a trust: protector	
<input checked="" type="checkbox"/> Controlling Person of a trust: beneficiary	
<input checked="" type="checkbox"/> Controlling Person of a trust: other	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): settlor-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): trustee-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): protector-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): beneficiary-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): other-equivalent	

### Section 5: Declarations and Undertakings

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

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

I undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance 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 (dd/mm/yy)*

D	D	M	M	Y	Y
---	---	---	---	---	---

On page 18, you will find a useful Application Checklist, which will help ensure you have completed all relevant sections and included all necessary documents. This should help prevent delays with your application.

#### PLEASE RETURN YOUR COMPLETED APPLICATION TO:

RBC Investor Services Ireland Limited, 4th Floor,  
One George's Quay Plaza, George's Quay, Dublin 2, Ireland  
Fax: +353 (0) 1 6131132

Dealing fax +44 (0) 845 450 1974  
Dealing telephone line +44 (0) 845 450 1972  
(telephone calls may be recorded)

## 9. Declaration and authorisation continued

### INDIVIDUAL SELF-CERTIFICATION - FOR PRIVATE INVESTORS (SECOND HOLDER) FOR FATCA AND CRS

#### Instructions for completion

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 in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form 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/aeol/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.

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**Sections 1, 2, 3 and 5 must be completed by all investors.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.** For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

(Mandatory fields are marked with a \*)

#### Section 1: Investor Identification

Investor name	
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Town or city of birth	Country of birth
Fund name J O Hambro Capital Management Umbrella Fund PLC	
<b>Residential address</b>	<b>Mailing address (if different from residential address)</b>
No. Street	No. Street
City, Town, State, Province or County	City, Town, State, Province or County
Postcode	Postcode
Country	Country

#### Section 2: FACTA Declaration of US Citizenship or US Residence for tax purposes

Please tick either (a) or (b) and complete as appropriate:

☒ (a) I confirm that **I am/the investor is** a US Citizen and/or Resident in the US for tax purposes and my/its US federal taxpayer identification number (US TIN) is as follows:

☐ **OR** (b) I confirm that **I am not/the investor is not** a US Citizen or Resident in the US for tax purposes.



## 9. Declaration and authorisation continued

### Section 3: CRS Declaration of Tax Residency (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.

NOTE: Provision of a TIN is required unless you are a tax resident in a Jurisdiction that does not issue a TIN.

Country of tax residency	TIN	Country of tax residency	TIN

### Section 4: Type of Controlling Person

ONLY to be completed by any individual who is a Controlling Person of an Entity investor which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution). For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person.

Please confirm what type of Controlling Person applicable under CRS applies to you/the investor by ticking the appropriate box

	Entity name
<input checked="" type="checkbox"/> Controlling Person of a legal person: control by ownership	
<input checked="" type="checkbox"/> Controlling Person of a legal person: control by other means	
<input checked="" type="checkbox"/> Controlling Person of a legal person: senior managing official	
<input checked="" type="checkbox"/> Controlling Person of a trust: settlor	
<input checked="" type="checkbox"/> Controlling Person of a trust: trustee	
<input checked="" type="checkbox"/> Controlling Person of a trust: protector	
<input checked="" type="checkbox"/> Controlling Person of a trust: beneficiary	
<input checked="" type="checkbox"/> Controlling Person of a trust: other	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): settlor-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): trustee-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): protector-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): beneficiary-equivalent	
<input checked="" type="checkbox"/> Controlling Person of a legal arrangement (non-trust): other-equivalent	

### Section 5: Declarations and Undertakings

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

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

I undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance 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 (dd/mm/yy)*

D	D	M	M	Y	Y
---	---	---	---	---	---

On page 18, you will find a useful Application Checklist, which will help ensure you have completed all relevant sections and included all necessary documents. This should help prevent delays with your application.

#### PLEASE RETURN YOUR COMPLETED APPLICATION TO:

RBC Investor Services Ireland Limited, 4th Floor,  
One George's Quay Plaza, George's Quay, Dublin 2, Ireland  
Fax: +353 (0) 1 6131132

Dealing fax +44 (0) 845 450 1974  
Dealing telephone line +44 (0) 845 450 1972  
(telephone calls may be recorded)

## Application checklist

Please use these checklists to ensure you have completed all relevant sections of the Application Form and enclosed all necessary documents.

### INDIVIDUAL APPLICANTS

- ☒ **1. Details of holders (first and second)**  
I/We have completed our personal details on page 1, including any appropriate account designation.
- ☒ **2. Income distributions and redemptions**  
I/We have stated whether we wish any income distributions to be paid to me/us or to be reinvested. If the former, I/we have completed our bank details.
- ☒ **3. Investment details**  
I/We have completed the boxes on pages 2 and 3 to confirm my/our investment choices.
- ☒ **4. Payment method**  
I/We have chosen to pay by either (A) Bank transfer or (B) CHAPS (GBP settlement only) and have completed either section A or B on page 5 with the relevant details.
- ☒ **5. Declaration of residence**  
On page 6, I/we have confirmed that either I am/we are an Irish Resident or, if not, then I am/we are neither an Irish Resident nor a US Person (as defined in the Prospectus). I/We (or my/our intermediary) have gone on to complete the 'Declaration of residence outside the Republic of Ireland'.
- ☒ **6. Identification and verification**  
I/We have completed page 7 to confirm what documentation we are enclosing with this Application Form to verify my/our identity. I/We have checked the documentation requirements against the lists and notes, also on page 7.
- ☒ **7. To be completed by your Financial Adviser, Nominee or Intermediary**  
If I/we are using the services of a Financial Adviser, Nominee or Intermediary, I/we have ensured that they have completed their details on page 8 of this form.
- ☒ **8. UK regulatory restrictions on paying commission (RDR)**  
If I/we are using the services of a Financial Adviser, Nominee or Intermediary, I/we have ensured that they have completed Question 1 and Question 2 on page 8 of this form.
- ☒ **9. Declaration and authorisation**  
I/We have read and understood the declaration and authorisation on page 10 and 11 and completed and signed all appropriate sections on pages 6 and 7 (and 13, 15 and 17 as appropriate).

## Appendix 1

### EQUIVALENT COUNTRIES LIST (Ireland)

Australia	Cyprus	Germany	Italy	Luxembourg	Portugal	Spain
Austria	Czech Republic	Greece	India	Malta	Romania	Sweden
Belgium	Denmark	Hong Kong	Japan	Mexico	Singapore	Switzerland
Brazil	Estonia	Hungary	Latvia	Netherlands	Slovakia	South Africa
Bulgaria	Finland	Iceland	Liechtenstein	Norway	Slovenia	United Kingdom
Canada	France	Ireland	Lithuania	Poland	South Korea	United States

The Channel Islands

- Jersey
- Guernsey

The Isle of Man

The Dutch overseas territories of:

- Netherlands Aruba
- Curacao
- Sint Maarten
- Bonaire
- Sint Eustatius
- Saba

The French overseas territories of:

- Mayotte
- New Caledonia
- French Polynesia
- Saint Pierre
- Miquielon
- Wallis
- Futuna

The information contained herein has been obtained from sources which we believe to be reliable, but its accuracy cannot be guaranteed. Such information is subject to change, is intended for informational purposes only, and is not to be construed as investment advice, tax advice or guidance.

## Appendix 2

### EQUIVALENT COUNTRIES LIST (Ireland)

The CRS was developed by the OECD as a new global standard for the automatic exchange of information between tax authorities in participating jurisdictions. A Multilateral Competent Authority Agreement was signed on 29 October 2014 in Berlin at the Global Forum on Transparency and Exchange of Information which will implement CRS in more than 90 jurisdictions, including Ireland. Under the CRS, governments of participating jurisdictions are required to collect detailed information to be shared with other jurisdictions annually. A group of over 40 countries, including Ireland, have committed to the early adoption of the CRS from 1 January 2016 with the first data exchanges taking place in September 2017. All EU member states, except Austria, will introduce the CRS from 1 January 2016; Austria will introduce CRS from 1 January 2017.

Under Irish laws giving effect to the CRS, the Fund will be required to obtain and report to the Revenue Commissioners annually certain financial account and other information for all new and existing Shareholders in respect of their holding of Shares in the Fund. This information will include amongst other things, details of the name, address, TIN, place of residence and, in the case of Shareholders who are individuals, the date and place of birth, together with details relating to payments made to Shareholders and their holdings. All Shareholders will be required to provide this information to the Fund.

This information is being collected and reported to the Revenue Commissioners by the Fund to enable the Revenue Commissioners to exchange this information with tax authorities in participating jurisdictions who have signed up to the Multilateral Competent Authority Agreement. Presently, the Fund will be required to collect and report this information in respect of all Shareholders in the Fund, irrespective of where they are resident. It is expected that where a Shareholder is resident in a jurisdiction which is participating in the CRS, the information submitted by the Fund to the Revenue Commissioners will be shared by the Revenue Commissioners with the tax authority of that participating jurisdiction. It is expected that where the Revenue Commissioners determine that a Shareholder is resident in a non-participating jurisdiction, no further use will be made by the Revenue Commissioners of the information submitted by the Fund. The precise requirements of the CRS as implemented in Ireland are not yet known and may impose additional due diligence, systems and administrative burdens and costs on the Fund and/or its Shareholders.

Further information may be obtained from the AEOI (Automatic Exchange of Information) webpage on [revenue.ie](http://www.revenue.ie/en/business/aeoi/index.html) - <http://www.revenue.ie/en/business/aeoi/index.html>.