

# GAM Star Fund plc

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## Account Opening and Application Form

GAM Fund Management Limited ('GFML')  
George's Court, 54-62 Townsend Street  
Dublin 2, Ireland  
Tel: +353 1 609 3974  
Fax: +353 1 829 0778  
Email: info@gam.com

### Important notes

- Please return all original documentation to GAM Fund Management Limited
- This form should only be used if applying for shares in a sub-fund of GAM Star Fund plc (the "Fund")
- Please contact our Client Services Team if applying for shares in other GAM funds
- Complete using BLOCK CAPITALS and in blue or black ink
- This form consists of three parts:
  - Part 1 is the account opening section
  - Part 2 is for the application for shares in a specific sub-fund
  - Appendix A (and/or) B are for the completion of the Self Certification of FATCA and CRS
- Completion of either Appendix A (Individuals) or Appendix B (Entity) is mandatory
- Completion of the Financial Adviser (Agent) detail section in Part 1, by the Financial Advisor is mandatory, if the Financial Adviser wishes to be linked to the Shareholder's Register
- Completion of the bank account details section in Part 1 is mandatory
- Completion of the Telephone Number and Email address in Part 1 is mandatory
- Provision of all Anti Money Laundering document for each applicant is mandatory. Details of the required documentation can be found in Appendix C entitled "Anti-Money Laundering – Know your Customer Requirements" at the back of this form
- GFML reserves the right not to process any application where, in its opinion, this form has not been properly completed
- Should you have any questions, please contact our Registration Administration Team on: +353 1 609 4154 or by email at RADub@gam.com



**Part 1**

**Individual details (complete and sign the Individual (Controlling Person's) Self-Certification for FATCA and CRS section in Appendix A of this form)**

**First applicant**

Title \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) \_\_\_\_\_

Residential address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Correspondence address (if different) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Passport number and country of issue of passport  
\_\_\_\_\_

Date of birth  /  /

Country and place of birth \_\_\_\_\_  
\_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

Applicant occupation \_\_\_\_\_

Applicant source of funds to be invested with GAM (tick relevant box)

- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> Gift        | <input type="checkbox"/> Sale of business                |
| <input type="checkbox"/> Pension     | <input type="checkbox"/> Sale of Assets (please specify) |
| <input type="checkbox"/> Savings     | <input type="checkbox"/> Other (please specify)          |
| <input type="checkbox"/> Inheritance |  |

Politically Exposed Persons – see definition on the next page of this application form. Please tick as appropriate

No  Yes

By ticking No, I am confirming that I am not a PEP/immediate family member of a PEP/close associate of a PEP nor is the application being made for the benefit of or on behalf of a person who is a PEP/immediate family member of a PEP/close associate of a PEP. If Yes is ticked, please provide the following details:

Name of PEP \_\_\_\_\_

Address of PEP \_\_\_\_\_  
\_\_\_\_\_

Title/position of PEP \_\_\_\_\_

Date of appointment \_\_\_\_\_

Relationship applicant has with PEP \_\_\_\_\_

Source of wealth of PEP

- Inheritance
- Income from employment (please specify)
- Income from business (please specify)
- Other (please specify)

**Second applicant**

Title \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) \_\_\_\_\_

Residential address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Correspondence address (if different) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Passport number and country of issue of passport

\_\_\_\_\_

Date of birth   /   /

Country and place of birth \_\_\_\_\_

\_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

Applicant occupation \_\_\_\_\_

Applicant source of funds to be invested with GAM (tick relevant box)

- Gift
- Pension
- Savings
- Inheritance
- Sale of business
- Sale of Assets (please specify)
- Other (please specify)

\_\_\_\_\_

\_\_\_\_\_

Politically Exposed Persons – see definition below. Please tick as appropriate

No  Yes

By ticking No, I am confirming that I am not a PEP/immediate family member of a PEP/close associate of a PEP nor is the application being made for the benefit of or on behalf of a person who is a PEP/immediate family member of a PEP/close associate of a PEP. If Yes is ticked, please provide the following details:

Name of PEP \_\_\_\_\_

Address of PEP \_\_\_\_\_

\_\_\_\_\_

Title/position of PEP \_\_\_\_\_

Date of appointment \_\_\_\_\_

Relationship applicant has with PEP \_\_\_\_\_

Source of wealth of PEP

- Inheritance
- Income from employment (please specify)
- Income from business (please specify)
- Other (please specify)

\_\_\_\_\_

\_\_\_\_\_

**Definition of a Politically Exposed Person as “an individual”**

A politically exposed person is defined as “an individual who is, or has been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): a) a specified official; b) a member of the administrative, management or supervisory body of a state-owned enterprise. A “specified official” is defined as any of the following officials (including any such officials in an institution of the European Communities or an international body): a) a head of state, head of government, government minister or deputy or assistant government minister b) a member of parliament; c) a member of the supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal d) a member of a court of auditors or of the board of a central bank e) an ambassador, charge d'affairs or high ranking officer of the armed forces.

**Corporations (complete and sign the Entity Self-Certification for FATCA and CRS section in Appendix B of this form)**

Registered name \_\_\_\_\_  
\_\_\_\_\_

Country of incorporation \_\_\_\_\_

Date of incorporation   /   /

Contact name \_\_\_\_\_

Registered address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**Trusts (Complete and sign the appropriate Self Certification (Entity for the actual Trust and Individual (Controlling Person's) for all Trustees) for FATCA and CRS in Appendix A and/or B of this form)**

For Trustees who are individuals, the details outlined in relation to individuals in terms of photographic ID and proof of address apply. For Trustees who are Corporates, please contact our Registration Department at RADub@gam.com to confirm the applicable AML documentation requirements.

Name of Trust \_\_\_\_\_  
\_\_\_\_\_

Country Trust established \_\_\_\_\_

Date Trust established   /   /

Contact name \_\_\_\_\_

Registered address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**Partnerships (complete and sign the Appropriate Self-Certification for FATCA and CRS section in Appendix A and/or B of this form)**

Name of Partnership \_\_\_\_\_  
\_\_\_\_\_

Name of General Partner \_\_\_\_\_

Country of registration \_\_\_\_\_

Registered address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**Collective investment schemes (complete and sign the Appropriate Self-Certification for FATCA and CRS section in Appendix A and/or B of this form)**

Name of Collective Investment Scheme \_\_\_\_\_  
\_\_\_\_\_

Registered address of Collective Investment Scheme \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Country of incorporation / establishment \_\_\_\_\_

\_\_\_\_\_

Stock Exchange Listing (if applicable) \_\_\_\_\_

\_\_\_\_\_

Name and address of Custodian \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_

Name and address of Administrator \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Account details

### Registered and correspondence details

(If not completed, details from "Shareholder details" will be used.)

Please indicate the name(s) in which you would like the holding registered, including account designation details (if applicable). If a nominee name is given as the registered name, all correspondence will be sent to the nominee and shares/units will be registered in the nominee name. GFML reserves the right to seek further information on the registered name, if different from the name given in the "Shareholder details" section, for verification purposes. Please note that in relation to Trusts, all holdings will be registered in the name of the Trustees.

Registered name(s)

\_\_\_\_\_

Account Designation

\_\_\_\_\_

Correspondence / mailing address (if different from address detailed in "Shareholder details" above)

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

### Bank account details

This section must be completed with a bank account only in the name of the registered shareholder.

Account name \_\_\_\_\_

Account number \_\_\_\_\_

Account currency \_\_\_\_\_

Name and address of bank \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

IBAN code \_\_\_\_\_

SWIFT number \_\_\_\_\_

Sort code \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

For the attention of \_\_\_\_\_

### Correspondent / Pay through bank

Account name \_\_\_\_\_

Account number \_\_\_\_\_

Account currency \_\_\_\_\_

Name and address of bank \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

IBAN code \_\_\_\_\_

SWIFT number \_\_\_\_\_

Sort code \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

For the attention of \_\_\_\_\_

### Contract notes, statements and other correspondence

Please provide email address(es)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Statements

Statements are automatically sent twice yearly. Please indicate if you prefer to receive them on another basis by ticking one option.

Monthly  Quarterly  Annually

Please indicate your preferred reporting currency for statements by ticking one option.

USD  EUR  GBP  CHF  JPY

### Instructions by telephone

Please tick if you do NOT wish to place instructions concerning your account by telephone.

### Dividends\*

Please indicate your dividend preference by deleting as appropriate:

Please pay out dividends / reinvest dividends

If a preference is not confirmed, dividends will automatically be paid out. Should you require the dividend to be paid to a bank account other than that detailed above, please attach separate details.

\* If you are applying for Income II Shares, please note that fees (including management fees) and/or expenses may be charged to the capital of the respective Fund. This will have the effect of lowering the capital value of your investment and you may not receive back the full amount invested. Shareholders should also note that dividends in respect of the Income II Shares may be made out of the capital of the relevant Fund. This may result in the erosion of capital notwithstanding the performance of the relevant Fund. As a result distributions may be achieved by foregoing the potential for future capital growth and this cycle may continue until all capital is depleted.

**Bank account details**

**Payment for shares**

Please enter the details of the bank from which the electronic payment will be effected by you to pay for your shares. Please note that you must instruct your bank to make your payment to the Fund bank account net of any bank charges incurred in making the electronic payment. **Subscription monies will only be accepted from a bank account in the name of the registered account holder.**

Account name \_\_\_\_\_

Account number \_\_\_\_\_

Account currency \_\_\_\_\_

Name and address of bank \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

IBAN code \_\_\_\_\_

SWIFT number \_\_\_\_\_

Sort code \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

For the attention of \_\_\_\_\_

**Financial adviser (Agent) details (if applicable)**

If an authorised Financial adviser (Agent) is to deal on behalf of the applicant(s), please either enter your GAM Financial adviser (Agent) number or complete the section below in full.

GAM Financial adviser (Agent) number  
\_\_\_\_\_

Regulated by and regulatory reference number  
\_\_\_\_\_

Company name \_\_\_\_\_  
\_\_\_\_\_

Title \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) \_\_\_\_\_

Correspondence address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**Financial adviser (Agent) declaration**

I / We hereby represent and warrant that I / we are duly authorised to deal on behalf of the applicant(s) and such dealing is not in breach of any applicable laws. I / We will obtain, record and verify the identity of the applicant(s) and agree to provide copies of all such material used in establishing the identity of the applicant to GFML on request.

Name \_\_\_\_\_

Date 

|   |   |   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|---|---|
| D | D | / | M | M | / | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|---|---|

Signature  
\_\_\_\_\_

Company stamp

**Part 2**

**Application for investment**

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This application form should be read in the context of and together with the prospectus of the Fund (the "Prospectus"), and save where defined in this application form, all capitalised terms shall have the same meaning as in the relevant Prospectus.

**Investment details**

If you are an existing GAM Shareholder, please insert your Register number:

Please indicate:

- Which fund(s) you wish to invest in by entering the correct fund name (including class name)
- The currency class you require
- The settlement currency and the amount you wish to invest

Please refer to the fund's Prospectus for shares and classes available.

**GAM fund name**

\_\_\_\_\_

ISIN / Sedol fund code \_\_\_\_\_

Accumulation / income shares \_\_\_\_\_

Currency class \_\_\_\_\_

Settlement currency \_\_\_\_\_

Amount \_\_\_\_\_

**GAM fund name**

\_\_\_\_\_

ISIN / Sedol fund code \_\_\_\_\_

Accumulation / income shares \_\_\_\_\_

Currency class \_\_\_\_\_

Settlement currency \_\_\_\_\_

Amount \_\_\_\_\_

**GAM fund name**

\_\_\_\_\_

ISIN / Sedol fund code \_\_\_\_\_

Accumulation / income shares \_\_\_\_\_

Currency class \_\_\_\_\_

Settlement currency \_\_\_\_\_

Amount \_\_\_\_\_

**GAM fund name**

\_\_\_\_\_

ISIN / Sedol fund code \_\_\_\_\_

Accumulation / income shares \_\_\_\_\_

Currency class \_\_\_\_\_

Settlement currency \_\_\_\_\_

Amount \_\_\_\_\_

Note: Minimum subscription amounts, minimum holdings and minimum dealing amounts are detailed in the relevant Prospectus.

**Payment**

Please indicate how you will be settling this investment.

Electronic funds transfer

Cheque

## Declaration to GAM Fund Management Limited ('GFML') and the Fund

### Important: All applicants must read and sign this section

For the purposes of the following, "Umbrella Cash Account" shall mean any bank account which is opened in the name of the Fund through which subscription monies, redemption monies or dividend payments flow. All subscriptions, redemptions or dividends payable to or from the relevant sub-fund will be channelled and managed through such Umbrella Cash Accounts and no such accounts will be operated at the level of the individual sub-fund.

- (1) I/We are aged 18 or over and acknowledge that I/we have read this declaration and that the purchase of shares is based on the terms and conditions of the Fund's Prospectus, Key Investor Information Document ("KIID") and the information contained in this application. Instructions to deal may be given by one applicant in a joint holding where all joint holders have completed and signed this form.
- (2) I/We acknowledge that due to anti money-laundering and terrorist financing requirements operating in Ireland or any other jurisdiction in which GFML operates, GFML may require further identification of the applicant(s) before the application or any subsequent transaction can be processed and I/we agree to provide GFML with such identification documentation and hold GFML and the Fund harmless and indemnify them against any loss arising as a result of a failure (or delay) in processing the application, if information requested has not been provided by me/us.

I/we acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the "AML Requirements"), redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by GFML as required under the AML Requirements, redemption monies or dividend monies will be held in an Umbrella Cash Account and shall remain an asset of the relevant sub-fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/ we will be unsecured creditors of the Fund for the account of the relevant sub-fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by GFML has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

I/we acknowledge that in the event of an insolvency of the Fund or the relevant sub-fund while my/our monies are held in an Umbrella Cash Account there is no guarantee that the Fund or the relevant sub-fund will have sufficient funds to pay unsecured creditors in full. I/we acknowledge that we have been advised by the Fund to ensure that all relevant documentation requested by GFML in order to comply with AML Requirements is submitted to GFML promptly on subscribing for shares in the Fund.

- (3) I/We acknowledge receipt of the current Prospectus and Supplements thereto of the Fund to which I/we are subscribing, which I/we have carefully considered in advance of this application noting the investment policy and the risk factors relating thereto. I/We hereby confirm that this

application is made solely on the terms of the Prospectus, KIID and this application form and subject to the Fund's Memorandum and Articles of Association, together (where applicable) with the most recent annual report and accounts of the Fund and (if issued after such report and accounts) its most recent semi-annual report. I/We hereby apply to be entered in the Register of Shareholders as the holder/holders of the shares issued in relation to this application.

- (4) I/We confirm that I/we have the authority to make the investment pursuant to the Application Form whether this investment is in my/our own name(s) or is made on behalf of another person or institution.
- (5) I/We hereby certify that the shares are not being acquired directly or indirectly by an Irish resident or a US Person (each as defined in the current Fund's Prospectus) nor in violation of any applicable law. In particular, (i) I/we understand that the Fund(s) has not been and will not be registered under the United States Investment Company Act of 1940, as amended, and that the shares have not been registered under the United States Securities Act of 1933, as amended, or any applicable securities laws of any state or other political sub-division of the United States and, unless described otherwise in the Prospectus, the shares may not be offered, sold, transferred, assigned or delivered, directly or indirectly, in the United States or to, or for the account or benefit of, a US Person at any time; (ii) I am not/none of us is a US Person.
- (6) I/We confirm that I/we have made and will make, or where this investment is made on behalf of another party, that to the best of my/our knowledge and belief such party has made and will make, all necessary disclosures and declarations as may be required to be made to any regulatory, governmental or tax authority in connection with this application and the holding or subsequent disposal or redemption of the shares.
- (7) I/We understand that the Fund may not be authorised or recognised under the Financial Services and Markets Act 2000 and that the scheme may only be promoted in the United Kingdom by authorised persons. In particular, I/we understand that (i) shareholders may not be protected by the United Kingdom financial services compensation scheme; and (ii) an applicant for shares may not have the right to cancel his application under the rules of the FCA.
- (8) I/We irrevocably apply for such number of shares (including fractions) at a price determined in accordance with the Prospectus as may be purchased with the amount subscribed (net of any subscription fee charged). I/We hereby undertake and agree to accept any number of shares in respect of which this application may be accepted. I/ We acknowledge that GFML reserves the right to reject any application in whole or in part and to restrict or prevent the ownership of shares by any person, firm or corporation in the circumstances outlined in the Prospectus.
- (9) On demand I/we (jointly and severally) promise to pay to the Fund on order the sum of the amount subscribed and pledge the subscribed shares as security for payment of all sums due hereunder. I/we acknowledge that in the event that where cleared funds are not received by the Fund when due, GFML reserves the right to cancel any allotment of shares and to charge me/us for interest at such rate as may be determined by the Directors from time to time and other losses, charges or expenses suffered or incurred by the Fund or its delegates

as a result of my/our failure to pay the relevant monies to the Fund by the applicable deadline. I/we acknowledge and agree that I/we will indemnify the Fund for the account of the relevant sub-fund and GFML for any losses suffered by it or them as a result of my/our failure to pay subscription monies in accordance with the applicable settlement terms.

I/we further acknowledge where cleared funds are due on the relevant dealing day and are not received by the time specified in the relevant Supplement, the application will be deferred until such dealing day as cleared funds are available by that time. GFML reserves the right not to process any transactions for an investor when full settlement for the purchase of the applicable Shares has not been made.

- (10) I/we acknowledge that my/our subscription monies will be paid into an Umbrella Cash Account and shall not be paid into a bank account in the name of the sub-fund in respect of which I/we have applied for shares.

I/we further acknowledge that where I/we pay subscription monies into the bank account in the name of the Fund designated by GFML in advance of a dealing day in respect of which an application for shares has been or is expected to be received by or on behalf of the Fund from me/us, my/our monies will be treated as an asset of the relevant sub-fund upon receipt and I/we will not benefit from the application of any investor money protection rules (i.e. the subscription monies will not be held on trust as investor monies for me/us). In such circumstances, I/we acknowledge that I/we will be an unsecured creditor of the relevant sub-fund with respect to the amount subscribed and held by the Fund until such shares are issued to me/us as of the relevant dealing day.

- (11) I/We confirm that I/we have the right and authority to request redemption of shares of the Fund and that I/we will comply with the redemption instructions set out in the Prospectus and relevant Supplement thereto.

I/we acknowledge that I/we will cease to be a shareholder with regard to the redeemed shares from the relevant dealing day on which my/our shares are redeemed. Pending payment of the redemption proceeds to me/us, I/we understand that my/our redemption proceeds shall be paid into an Umbrella Cash Account rather than the sub-fund from which I/we are redeeming shares and shall remain an asset of the relevant sub-fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be an unsecured creditor of the relevant sub-fund from the dealing day on which shares are redeemed until such time as I/we have received our redemption proceeds. I/we acknowledge that in the event of an insolvency of the Fund or the sub-fund, while my/our monies are held in an Umbrella Cash Account, there is no guarantee that the Fund or the relevant sub-fund will have sufficient monies to pay me/us in full.

Where I/we hold shares in a class which pays out dividends, I/we acknowledge that such dividends, once declared, shall be paid into an Umbrella Cash Account for onward transmission to me/us. Pending payment of the dividend proceeds to me/us, I/we acknowledge that these dividend proceeds shall remain an asset of the relevant sub-fund and I/we will not benefit from the application of any investor

money protection rules (i.e. the dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be an unsecured creditor of the relevant sub-fund from the date on which the dividends have been declared until such time as I/we have received our dividend monies. I/we acknowledge that in the event of an insolvency of the Fund or the sub-fund while my/our monies are held in an Umbrella Cash Account, there is no guarantee that the Fund or the relevant sub-fund will have sufficient monies to pay me/us in full.

I/we acknowledge that the Fund operates a number of Umbrella Cash Accounts in the name of the Fund into which subscription monies received from investors of all of the sub-funds of the Fund will be lodged. The Fund has also established separate redemption accounts at umbrella level in the name of the Fund. Pending payment to the relevant shareholders, dividend monies shall also be paid into separate dividend accounts at umbrella level in the name of the Fund. All subscriptions, redemptions or dividends payable to or from the relevant sub-fund will be channelled and managed through such Umbrella Cash Accounts and no such accounts will be operated at the level of the individual sub-fund. I/we acknowledge that the following risks arise in respect of the operation of such Umbrella Cash Accounts:

- (i) In the event that redemption monies or dividend monies held in an Umbrella Cash Account are lost prior to payment to the relevant investor or shareholder, the Fund on behalf of the relevant sub-fund may be obliged to make good any losses suffered by the investor/shareholder in its capacity as a general creditor to the relevant sub-fund, in which case such loss will need to be discharged out of the assets of the relevant sub-fund and therefore will represent a diminution in the net asset value per share for existing shareholders of that sub-fund.
- (ii) In the event that subscription monies are held in an Umbrella Cash Account and are lost in advance of the issue of shares to that investor, the Fund on behalf of the relevant sub-fund may be obliged to make good any losses suffered by the investor in its capacity as a general creditor to the relevant sub-fund, in which case such loss will need to be discharged out of the assets of the relevant sub-fund and therefore will represent a diminution in the net asset value per share for existing shareholders of that sub-fund.
- (iii) In the event of an insolvency of another sub-fund of the Fund, recovery of any amounts to which a relevant sub-fund is entitled, but which may have been transferred to such other insolvent sub-fund as a result of the operation of the Umbrella Cash Account will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Accounts. There may be delays in effecting and/or disputes as to the recovery of such amounts and the insolvent sub-fund may have insufficient funds to repay the amounts due to the relevant sub-fund.

- (12) GFML is hereby authorised and instructed to accept and execute any instructions received by post, facsimile, telephone or email in respect of the shares to which this application relates and GFML and the Fund(s) may rely conclusively upon and shall incur no liability in acting upon such notice, request, consent, instruction or other instrument believed by either of them in good faith to be genuine or

to be signed by the proper person(s) or duly authorised or properly made (as defined in the Prospectus). I/We understand that applications to buy Shares by telephone (where I am/we are an existing Shareholder and have completed an original application form) will be treated as definitive orders even if not subsequently confirmed in writing. I/We will indemnify the Fund and GFML against any claim arising from loss caused by a delay or non-receipt of instructions or confirmation of instructions.

- (13) I/We confirm that I/we are not holding shares in contravention of the restrictions imposed by the Directors as set out in the Prospectus and I/we, further acknowledge that if my/our holding could, in the opinion of the Directors, cause the Fund or the shareholders as a whole to incur any liability to taxation or suffer pecuniary or regulatory disadvantage that I/we will indemnify the Fund, the Directors, GFML and the Custodian for any loss suffered by it or them as a result.
- (14) I/We acknowledge that I/we will indemnify and keep the Fund indemnified against loss arising to the Fund by reason of the Fund becoming liable to account for tax on the happening of a Chargeable Event (as described in the relevant prospectus) where no deduction, cancellation or appropriation from the amount giving rise to the Chargeable Event being an amount equal to the appropriate tax, has been made.
- (15) I/We acknowledge that the Fund intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Fund intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Fund to comply with the above FATCA and CRS obligations, I/We agree to provide to the Fund or GFML the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund or GFML immediately of any such change and further agree to immediately take such action as the Fund or GFML may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund or GFML.

If relevant, I/we agree to notify GFML of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Fund, GFML, the Investment Manager and/or the Delegate Investment Manager (each an "Indemnified Person") against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Fund or GFML and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Fund or GFML. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Fund and that the Fund and GFML are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified each Indemnified Person against any loss suffered by them or other Shareholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included in this Application Form. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Fund and GFML immediately of any such change and agree to immediately take such action as the Fund and/or GFML may direct, including where appropriate, redemption of our Shares.

I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the Fund's compliance with the FATCA and CRS requirements.

I/We hereby acknowledge that I/we should consult my/our own tax advisers about the applicability of FATCA, CRS and any other reporting requirements with respect to the our own situation. If applicable, I/we should contact our intermediary regarding the application of this regime to our investments in the Fund.

I/we acknowledge receipt of the Customer Information Notice attached at Appendix A and Appendix B to this document.

- (16) I/We acknowledge that where the Fund invests in underlying funds which are valued on the basis of their estimated probable value, I/we acknowledge that notwithstanding such estimated probable realisation value may be lower or higher than the final valuation of such assets, the net asset value per share based on an estimated probable realisation value of such assets shall be final and not subsequently readjusted when the final valuation of such assets becomes available. I/We agree that I/we shall have no recourse to the Fund, GFML and/or the Investment Manager of the Fund in the event that the estimated probable realisation value of underlying funds taken into account in the calculation of (i) the net asset value per share is higher than the final valuation of such assets or (ii) the net asset value per share is lower than the final valuation of such assets.

- (17) (Applicable where there are joint shareholders). We direct that on the death of one of us, the shares for which we hereby apply be held in the name of and to the order of the survivor(s) of us or the executors and/or administrator of such survivor.
- (18) I/We agree not to duplicate or to furnish copies of the Prospectus, or divulge any of its contents, to any person other than my/our investment, legal or tax adviser (who may use the information contained in the Prospectus solely for purposes related to my/our investment in the Fund).
- (19) I/We hereby represent and warrant to the Fund that the shares are NOT being acquired directly or indirectly for a "benefit plan investor". For this purpose, "benefit plan investor" means any (1) "employee benefit plan" within the meaning of Section 3(3) of the US Employee Retirement Income Security Act of 1974, as amended ("ERISA") that is subject to the provisions of Part 4 of Title I of ERISA, (2) an individual retirement account, Keogh plan or other plan described in Section 4975(e)(1) of the US Internal Revenue Code of 1986, as amended (the "IRC"), (3) an entity whose underlying assets include "plan assets" by reason of 25% or more of any class of equity interests in the entity being held by plans described in (1) or (2) above, or (4) any other entity (such as an insurance company separate or general account or a group or common trust) whose underlying assets include "plan assets" by reason of an investment in the entity by plans described in (1) or (2) above.
- (20) I/We confirm that by signing this application form I/we accept the risks related to the submission of applications in writing by post, facsimile or by email and will ensure that any instruction is properly sent. I/We accept that neither GFML or the Fund shall be held responsible for any loss resulting from non-receipt of any instructions. I/We accept that I/we shall be solely responsible.
- (21) In signing this application form, I/we acknowledge that GFML is a data controller and hereby consent to GFML and its delegates and its duly authorised agents and any of its related, associated or affiliated companies obtaining, holding, using, disclosing and processing my/our data:
- (i) To establish my/our identity and manage and administer my/our holding in the Fund and any related accounts on an on-going basis;
  - (ii) For the performance of the duties and obligations of the service providers of the Fund and the calculation of the fees of the service providers of the Fund;
  - (iii) For any other specific purposes where I/we have given specific consent to do so;
  - (iv) To carry out statistical analysis and market research;
  - (v) To comply with legal or regulatory requirements applicable to the Fund or any of them or me;
  - (vi) For disclosure or transfer whether in Ireland or countries outside of Ireland including without limitation the United States of America, which may not have the same data protection laws as Ireland, to third parties including my financial adviser (where appropriate), regulatory bodies, tax authorities, auditors, technology providers or to the Investment Manager 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;
- (vii) For disclosure to the tax authorities in Ireland and in my/our country of residence in accordance with the EU Taxation of Savings Directive (2003/48/EC) and applicable local regulations; and
- (viii) For other legitimate business interests of the Fund.
- I/We hereby acknowledge my/our right of access to and the right to rectify my/our personal data.
- GFML is a data controller and will hold any personal information provided by me/us in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act, 2003.
- I/We consent to the sending by GFML and its delegates and its duly appointed agents and any of its related, associated or affiliated companies of information about other investment services to me/us, by letter, telephone or other reasonable means of communication.
- I/We acknowledge my/our right to object to the processing of my/our data for direct marketing purposes by written request to the Company free of charge.
- (22) I/We consent to the recording of telephone calls made to and received from me/us by GFML, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes.
- (23) By providing my/our email address to GFML, I/we acknowledge that email is not a secure medium for communication of information and the security and accuracy of any information transmitted or accessed in this matter shall be at my/our risk. GFML's duty of confidentiality shall be deemed to have been modified accordingly.
- (24) I/We confirm that the terms and conditions for the purchase of shares in the Fund as set out in the Fund's Prospectus, KIID and in this application form shall be construed in the case of an application to purchase shares in the Fund, in accordance with the laws of, and shall be governed by the non-exclusive jurisdiction of the Irish Courts.
- (25) I/We represent that neither I/we, nor to my/our knowledge, (i) any person or entity controlled by me/us, or (ii) if I am/we are other than a natural person, any person or entity controlled by, controlling or under common control with me/us nor any person having a beneficial interest in me/us:
- (a) is a person or entity listed in Executive Order No. 13224 (September 23, 2001) issued by the President of the United States (Executive Order Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism), any related enabling legislation or any other similar Executive Orders (collectively, the "Executive Order"), or if the Applicant is other than a natural person, is a person or entity listed in the Annex to Section 1 (b), (c) or (d) of the Executive Order;
  - (b) is named on the List of Specially Designated Nationals and Blocked Persons (the "SDN List") maintained by the US Office of Foreign Asset Control ("OFAC"), Department of the Treasury, and/or on any other similar list ("Other Lists") maintained by OFAC pursuant to any authorizing statute, Executive Order or regulation (collectively, "OFAC Laws and Regulations");

- (c) is a foreign shell bank or is otherwise a bank with no physical presence in any country, eg, no place of business at a fixed address in a country in which it is authorised to do business with full time employees and records and which is subject to inspection by its licensing authority; or
- (d) is (i) a current or former senior official in the executive, legislative, administrative, military, or judicial branch of a foreign government (whether elected or not), a senior official of a major foreign political party, or a senior executive of a foreign government-owned commercial enterprise, (ii) a corporation, business or other entity that has been formed by, or for the benefit of, any such individual (iii) an immediate family member of any such individual, or (iv) a person who is widely and publicly known (or is actually known by the Applicant) to maintain a close personal relationship with any such individual (collectively, an "SFPP"), unless the Fund, after being specifically notified by the Applicant in writing that it is such a person, conducts further due diligence, and determines that such investment shall be permitted.
- (26) I/We represent that all and any information provided by me/us herein is correct and complete as at the date hereof and shall be deemed repeated as of the date of any future application. I/We hereby agree to indemnify and hold harmless the Fund(s), the Directors, GFML and any member of the GAM Group against any loss, liability, cost or expense (including, without limitation, legal fees, taxes and penalties) which may result, directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement contained herein or in any other document delivered by me/us or on my/our behalf to the Fund or GFML.
- (27) I/We acknowledge that any notice or document may be served by the Fund on me/us in the manner specified from time to time in the Prospectus and for the purposes of the Electronic Commerce Act 2000, consent to any such notice or document (including the annual financial statements and other periodic reports of the Fund) being made available to me/us via gam.com which is designated as an information system for the purposes of receiving electronic communication and/or being sent to me/us electronically to the email address which has been provided to the Fund, GFML or its delegate in completing this share application form or otherwise which I/we acknowledges constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications electronically by notifying the Fund and GFML in writing at the above address provided that my/our agreement to receive communications electronically shall remain in full force and effect pending receipt by GFML of written notice of such revocation. I/We undertake to keep the Fund and GFML informed of any change to such email address.
- (28) I/We confirm that where we are applying for shares on my/our own behalf, I/we will notify the Fund and GFML in writing if I am/we are or become resident or ordinarily resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.

I/We confirm that where I am/we are applying for shares on behalf of another person, I/we will notify the Fund and GFML in writing, if I am/we are, or become, aware that any person who is beneficially entitled to any of those shares may be resident or ordinarily resident in Ireland or may have become resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.

- (29) I/We agree to notify GFML in writing immediately if I/we become aware that any of the above representations is no longer complete and accurate in all respects and agree immediately either to redeem, or tender to the fund for repurchase, a sufficient number of shares to allow the representations to be made.
- (30) I/We acknowledge that I/We have received the KIID in good time and I/We have read same.
- (31) Where I/we received a copy of the KIID via a durable medium other than paper (e.g. email, etc.) I/We confirm that:
- (i) the provision of the KIID or the Prospectus using such a durable medium is appropriate to the context in which the business between GFML and I/us is, or is to be, carried on; and
  - (ii) when offered the choice between information on paper or in that other durable medium, I/we specifically chose that other medium in respect of all subscriptions present and future.
- (32) Where I/we received the KIID in electronic form by way of accessing the latest version of the document via a website, namely www.gam.com, I/we confirm that:
- (i) the provision of the KIID or the Prospectus in that medium is appropriate to the context in which the business between GFML and I/us is, or is to be, carried on;
  - (ii) when offered the choice between information on paper or in electronic form by way of accessing the latest version of the KIID via a website, I/we specifically chose electronic form by way of accessing the latest version of the document via a website in respect of all subscriptions present and future;
  - (iii) I/We consent to the provision of the KIID or Prospectus by means of the GAM website (www.gam.com); and
  - (iv) I/We have been notified electronically of the address of the website (i.e. www.gam.com), and the place on the website where the information may be accessed (i.e. www.gam.com).

I/We acknowledge that the information provided to me/us via the website is up to date.

I/We acknowledge that the information provided to me/us via the website is accessible continuously for such period of time as I/we may reasonably need to inspect it.

**Additional Declarations to (the Fund) for natural persons resident in a EU or EEA Member State who subscribe for shares in the Fund by way of a distance contract.**

1. I/We have received written copies of or have accessed and downloaded by electronic means the Prospectus and the KIID of the Fund prior to entering into a contract with the Fund for the supply of a financial service; and
2. I/We have been provided with the information set out below being information required under Statutory Instrument No 853 of 2004, the European Communities (Distance Marketing of Financial Services) Regulations 2004 as amended by Statutory Instrument No 63 of 2005, the European Communities (Distance Marketing of Consumer Financial Service) (Amendment) Regulations 2005 (the "Regulations") to be provided to consumers within the meaning of the Regulations in connection with a distance contract for the supply of a financial service
  - (a) The Fund is an open-ended umbrella investment company with variable capital incorporated with limited liability in Ireland and has segregated liability between sub-funds in Ireland under the Companies Acts 2014 with registration number 280599. It is established as an undertaking for collective investment in transferable securities pursuant to the European Communities (Undertaking for Collective Investment in Transferable Securities) Regulations 2011 as amended. The Fund provides services from the address outlined at the top of the first page of this application form.
  - (b) The Fund has appointed representatives in the European Member States listed in each supplement to the Prospectus.
  - (c) The Fund is registered at the Companies Registration Office in Dublin as an open-ended umbrella investment company with variable capital incorporated with limited liability in Ireland and has segregated liability between sub-funds.
  - (d) The Fund is authorised by the Central Bank in Ireland as an undertaking for collective investment in transferable securities pursuant to the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011 as amended.
  - (e) The financial service provided by the Fund is the collective investment in either or both transferable securities and other liquid financial assets of capital raised from the public.
  - (f) The price to be paid by me/us for the shares is as disclosed in the "Determination of Net Asset Value" and the "Fees and Expenses" sections of the Prospectus as may be updated from time to time and notified to or agreed by me/us or any required majority of investors.
  - (g) The financial service provided by the Fund is related to instruments involving special risk related to their specific features or the operations to be executed or whose price depends on fluctuations in the financial markets outside of the Fund's control. The risk factors relating to an investment are summarised in the section entitled "Risk Factors" in the Prospectus. Historical performances are no indicators for future performances.
  - (h) It is possible that taxes or costs other than those described in the Prospectus and KIID may apply in relation to investments made in the Fund, depending on the personal circumstances of the investor. I/We have been advised to seek independent advice of any applicable costs or taxes relevant to me/us.
  - (i) To the best of the knowledge and belief of the Fund, the information contained therein is valid as of the date hereof. I/We acknowledge the Prospectus may be updated by the Fund from time to time by notice to me/us.
  - (j) The arrangements for payments and performance relating to the provision of services by the Fund are as specified in the Prospectus.
  - (k) As my/our contract with the Fund relates to the provision by the Fund of financial services whose price depends on fluctuations in the financial markets outside of the Fund's control, I/we have no right under the Regulations to cancel the contract or investment made. However, I/we may redeem my/our investment in accordance with the procedures specified in the Prospectus at the redemption price calculated in accordance with the procedures specified in the Prospectus.
  - (l) The minimum duration of my/our investment is from the dealing day on which my investment is processed by or on behalf of the Fund to the first subsequent dealing day in which my investment may be redeemed. Dealing is effected by the Fund on a daily basis, as more fully described in the Prospectus.
  - (m) The Fund provides services under the laws of Ireland.
  - (n) My/our contract with the Fund will be governed by Irish law and the Irish courts will have jurisdiction with respect to the determination of any disputes arising under my/our contract with the Fund. Please note that if shares are held through a nominee, the law under which the nominee provides services may govern the nominee/investor relationship.
  - (o) The contractual terms and conditions and required information have been given in English. The Fund will communicate with me/us in English while the contract remains in force, unless the Fund agrees to communicate in another language.
  - (p) If the Fund has appointed a representative in the EU Member State in which I reside, I/we can make a complaint in writing to the Fund's representative at the address set out in the relevant supplement to the Prospectus. If the Fund has not appointed a representative in the EU Member State in which I/we reside, I/we can make a complaint in writing to the Fund at the address given for the Fund at the top of the first page of this application form. If after making a formal complaint, I/we are still unhappy with the outcome, I/we may make a complaint in writing to the Financial Services Ombudsman's Bureau, Lincoln House, Lincoln Place, Dublin 2, Ireland.
  - (q) GFML is not a category of firm which comes within the scope of the Investor Compensation Act 1998 in Ireland and consequently is not a member of or required to contribute to any compensation scheme established in Ireland with respect to the payment of compensation to eligible investors. Thus no compensation under any such scheme will be payable to investors in respect of contracts made with the Fund.

**Signature (first applicant)**

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Print name

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Capacity in which declaration is made (Corporates only)

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Date   /   /

**Signature (second applicant, if applicable)**

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Print name

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Capacity in which declaration is made (Corporates only)

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Date   /   /

**Signature (third applicant, if applicable)**

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Print name

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Capacity in which declaration is made (Corporates only)

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Date   /   /

**Signature (fourth applicant, if applicable)**

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Print name

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Capacity in which declaration is made (Corporates only)

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Date   /   /

**Important notes and instructions**

Minimum investments: Initial application for this fund must be for the minimum amount defined in the section “How to Subscribe for Shares” in the fund’s Prospectus. Subsequent investments into the fund are also detailed in the Prospectus.

Method of payment: Applicants must make payments by Electronic Funds Transfer and should refer to the payment details information document. If you require a copy of this document please contact our Client Services Team on +353 1 609 3927.

By Electronic Funds Transfer: Fax or mail the completed application to GFML to be received by the relevant cut off time for dealing per the Prospectus. Please instruct your bank to forward the remittance for the credit of the relevant bank account and ask them to quote the fund name and the name of the remitting bank account when transferring payments. Unless otherwise disclosed in the Prospectus, payment for shares must be received on the relevant Dealing Date in cleared funds in the designated currency of the applicable share class. Payment for shares by investors or intermediaries approved by GFML must be made normally within four Business Days of the relevant Dealing Day.

Payments to shareholders: Will only be paid to accounts in the name of registered holder and will not be paid to third party accounts. If payment is to be made to other than the pre-designated bank account, original written instructions must be given and signed by all joint holders.

GAM Financial Adviser (Agent) number: Financial Advisers (Agents) who have not previously dealt with GFML and whose details are given on the form will, following approval by GFML, be assigned an individual Financial Adviser (Agent) number and are requested to quote this on all correspondence with GFML.

Audited and unaudited Financial Statements: Shareholders are advised that audited annual and unaudited semi-annual statements are available on our website [www.gam.com](http://www.gam.com). All requests to receive copies of these Financial Statements by post or email should be directed to our Client Services Team on + 353 1 609 3927

GAM Fund Management Limited is regulated by the Central Bank in Ireland.

Company registration number 156828.

## Appendix A – Individual (Controlling Person’s) Self-Certification for FATCA and CRS

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### **Customer information notice – 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 required sections as directed and provide any additional information that is requested. Please refer to section 15 on page 10 of this form. 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 any of the information below about the investor’s tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

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

If you have any questions about this form or defining the investor’s tax residency status, please speak to a tax adviser. For further guidance on the CRS please refer to the OECD CRS Information Portal at <http://www.oecd.org/tax/automatic-exchange/>)

For further information on FACTA or CRS please refer to the Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html>

## 1: Declaration of US Citizenship or US Residence for tax purposes

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**Applicant name:** \_\_\_\_\_

**Please tick either (a), (b) or (c) below and complete as appropriate.**

- (a)  I confirm that I am a US citizen and/or resident in the US for tax purposes and my US federal taxpayer identifying number (US TIN) is: \_\_\_\_\_
- (b)  I confirm that I was born in the US (or a US territory) but am no longer a US citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.
- (c)  I confirm that I am not a US citizen or resident in the US for tax purposes.

## 2: CRS Declaration of tax residency (for Countries other than US) – you may choose more than one Country

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Please indicate all countries in which you are tax resident and include your relevant tax identification number in the table below. (Please note that this declaration is requested in the context of the OECD Common Reporting Standard (“CRS”), an initiative to implement automatic exchange of financial account information on a global basis.

| Country of tax residency | Tax identification number (TIN)* |
|--------------------------|----------------------------------|
|                          |                                  |
|                          |                                  |

\* National Insurance Number for UK residents

If a TIN is unavailable, please provide the appropriate reason (a), (b) or (c) where indicated below:

- (a)  The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.
- (b)  The account holder is otherwise unable to obtain a TIN. (Please explain why you are unable to obtain a TIN)

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- (c)  No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction).

### 3: Type of Controlling Person

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(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**

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

## Appendix B – Entity Self-Certification for FATCA and CRS

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### **Customer information notice – 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 refer to section 15 on page 10 of this form. 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 any of the information below regarding your tax residence or AEOI classification changes in the future, please ensure you advise us of these changes promptly.

It is important to note that your FATCA classification may differ from your CRS classification. Therefore both sections must be completed in full.

If you have any questions about this form or defining the investor's tax residency status, please speak to a tax adviser. For further guidance on the CRS please refer to the OECD CRS Information Portal at <http://www.oecd.org/tax/automatic-exchange/>)

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html>.

**1: Declaration of US Residence – please tick either (a), (b), or (c) below and complete as appropriate**

**US residency declaration**

(a)  The entity is a Specified US person and its US federal tax payer identifying number (US TIN) is:

(b)  The entity is a US person but not a Specified US Person

Please confirm the exemption \_\_\_\_\_

(c)  The Entity is not a Specified US Person

**2: If the entity is a Financial Institution, please tick one of the following categories and provide the Entity's GIIN**

|     |   |  |
|-----|---|--|
| I   | IGA Partner Jurisdiction Financial Institution            |  |
| II  | Registered Deemed Compliant Foreign Financial Institution |  |
| III | Participating Foreign Financial Institution               |  |

Global Intermediary Identification Number (GIIN) \_\_\_\_\_

If the registration of a GIIN is in progress, please indicate here.

**2.1: If the entity is a Financial Institution but unable to provide a GIIN please tick one of the following reasons:**

|     |   |  |
|-----|---|--|
| I   | The entity is a IGA Partner Jurisdiction Financial Institution and has not yet obtained a GIIN  |  |
| II  | The entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN<br>Sponsor name: _____ Sponsor's GIIN: _____   |  |
| III | The entity is a trustee Documented Trust. Please provide your trustees name and GIIN.<br>Trustee name: _____ Trustee GIIN: _____  |  |
| IV  | Exempt Beneficial Owner   |  |
| V   | Certified Deemed Compliant, or otherwise Non-Reporting Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA). Please indicate exemption.<br>_____ |  |
| VI  | Non-Participating Foreign Financial Institution   |  |
| VII | Excepted Foreign Financial Institution  |  |

**2.2 If the entity is not a Foreign Financial Institution, please confirm the entity's FATCA status below:**

|     |  |  |
|-----|--|--|
| I   | Active Non-Financial Foreign Entity  |  |
| II  | Passive Non-Financial Foreign Entity*  |  |
| III | Excepted Non-Financial Foreign Entity  |  |
| IV  | If the Entity is a Direct Reporting NFFE, please provide the Entity's GIIN:<br>_____                               |  |
| V   | If the Entity is a Sponsored Direct Reporting NFFE, please provide the Sponsoring Entity's name and GIIN:<br>_____ |  |

\* A Self Certification Form is required with respect to each of the Controlling Persons where this box is ticked. Please complete Appendix A (Controlling Persons section) providing further details of any ultimate Controlling Persons who are natural persons. Where there are no natural person(s) who exercise control of the Entity, then the Controlling Persons will be the natural person(s) who hold the position of senior managing official of the Entity.

**3: CRS Declaration of tax residency (for Countries other than US) – you may choose more than one Country**

Please indicate all countries in which the entity is tax resident and include its relevant tax identification number (TIN) in the table below. (Please note that this declaration is requested in the context of the OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis).

| Country of tax residency | Tax identification number (TIN) |
|--------------------------|---------------------------------|
|                          |                                 |
|                          |                                 |

Provision of a TIN is required unless you are 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.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**4: Entity's CRS classification (all Entity Investors)**

Please provide your CRS classification by ticking one of the below categories. Note that CRS classification does not necessarily coincide with your classification for US or purposes.

**4.1 Financial Institutions under CRS**

|   |  |  |
|---|--|--|
| I | If the entity is a Financial Institution under CRS (other than (III) below) please tick this box |  |
|---|--|--|

Specify the type of Financial Institution by choosing I, II or III below:

|     |  |  |
|-----|--|--|
| I   | Reporting Financial Institution under CRS  |  |
| II  | <p>Non-Reporting Financial Institution under CRS</p> <p>Please specify the type of Non-Reporting Financial Institution below:</p> <p><input type="checkbox"/> Governmental Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax</p> <p>Specify the type provided in the domestic law:</p> <p>_____</p> |  |
| III | <p>Financial Institution resident in a Non-Participating Jurisdiction under CRS. Specify the type of Financial Institution resident in a Non-Participating Jurisdiction below:</p> <p>(a) <input type="checkbox"/> Investment entity and managed by another Financial Institution.*</p> <p><i>* A Self Certification Form is required with respect to each of the Controlling Persons where this box is ticked. Please complete Appendix A (Controlling Persons section) providing further details of any ultimate Controlling Persons who are natural persons. Where there are no natural person(s) who exercise control of the Entity, then the Controlling Persons will be the natural person(s) who hold the position of senior managing official of the Entity.</i></p> <p>(b) <input type="checkbox"/> Other Investment Entity</p> <p>(c) <input type="checkbox"/> Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>       |  |

**4.2 Non Financial Institutions under CRS**

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

|    |   |  |
|----|---|--|
| I  | <p>If the entity is an Active Non-Financial entity (“NFE”) please tick this box</p> <p>Please specify the type of NFE below:</p> <p>(a) <input type="checkbox"/> Corporation that is regularly traded or related entity of a regularly traded corporation.</p> <p>Please provide the name of the stock exchange where traded:</p> <hr/> <p>(b) <input type="checkbox"/> If you are a related entity of a regularly traded corporation, provide the name of the regularly traded corporation:</p> <hr/> <p>(c) <input type="checkbox"/> Governmental Entity, International Organization, a Central bank, or an Entity wholly owned by one or more of the foregoing</p> <p>(d) <input type="checkbox"/> Other Active Non-Financial Entity</p> |  |
| II | <p>If the entity is a Passive Non-Financial Entity please tick this box*</p> <p><i>* A Self Certification Form is required with respect to each of the Controlling Persons where this box is ticked. Please complete Appendix A (Controlling Persons section) providing further details of any ultimate Controlling Persons who are natural persons. Where there are no natural person(s) who exercise control of the Entity, then the Controlling Persons will be the natural person(s) who hold the position of senior managing official of the Entity.</i></p>   |  |

## Appendix C – Anti-Money Laundering – Know your customer requirements

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Under Irish anti-money laundering and taxation of savings legislation, there is an obligation on both GFML and the Fund to obtain sufficient information on all applicants in order to verify the identity, permanent address and tax residency of all new customers. Please note that your account will not be fully registered and will remain suspended pending receipt of the information required as described more fully below.

Please tick the relevant boxes and send the documentation requested to GFML along with the completed application form. The documentation requested must be supplied for all applicants. If you are unable to supply some or all of the documents listed, please contact GFML.

The level of due diligence required will depend if you are in a Prescribed Country or not. Prescribed Countries include the following Members of the EU (with the exception of Romania, Bulgaria, Cyprus and Greece), Australia, Canada, the Channels Islands and the Isle of Man, Brazil, Hong Kong, Iceland, Japan, Liechtenstein, Norway, South Korea, Singapore, Switzerland and the US.

Documents must be certified by a suitable person such as a notary public, a commissioner for oaths, a police officer, an embassy or consular official, a chartered or certified accountant, a practicing solicitor, doctor or an official of a financial institution regulated in a prescribed country. All certified documents should have the official stamp of the certifier, contain the qualification and contact details of the certifier and dated and signed by the certifier.

## Verification of client identity

In order to assist with appropriate identification checks relating to applications, redemptions, income distributions or the transfer of shares, GAM Fund Management Ltd may instruct an external credit reference agency to verify a prospective or existing investor's identity. Such credit reference agency will check the details supplied against any database, public or otherwise, and may use the details provided to assist other companies for verification and identification purposes for the prevention and detection of fraud or other crime. These checks are, however, only to verify clients' identities and will not affect their credit rating.

### Individuals

- Certified copy of current passport, driver's licence or identity card which contain the name, a photograph, a sample signature and date of birth of the applicant
- An original or certified document not more than 6 months old confirming the permanent address e.g. utility bill, bank or credit card statement, motor or household insurance certificates or documents from a public sector body or local authority.

### Specified customers or products in Prescribed Country

A Specified Customer is defined to include a credit or financial institution, a stock exchange listed company, a public body including EU institutions or a pension fund where these are located in a Prescribed Country.

- Confirmation of the Name and Address
- Confirmation of the regulatory status or listing of the customer
- Authorised signatory list
- Letter of Assurance providing details of the Anti-Money Laundering standards applied by the Specified Customer.

### Other corporate customers including nominee companies

- Confirmation of the name and address
- Confirmation of the regulatory status or listing of the customer (if applicable)
- Certified copy of the Certificate of Incorporation
- Certified copy of the Memorandum and Articles of Association
- List of all directors to include full name, dates of birth, occupation, residential and business addresses
- Authorised Signatory List
- Certified Identification documents for 2 directors in line with those outlined above for Individuals
- Certified Identification documents for all persons authorised to operate the account in line with those those outlined above for Individuals
- Name and address of shareholders owning more than 25% of the shares or voting rights of the issuer. Where a body corporate owns more than 25% of the shares, please provide the names, residential addresses, occupations and dates of birth of the ultimate beneficial owners of the body corporate
- In the case of Nominee Companies, confirmation of the regulatory status of the parent company and a letter of assurance from a regulated parent company in a Prescribed Country

### Trusts, Foundations and similar entities

- Confirmation of name, nature and address of the trust
- Certified copy of the Declaration or Deed of Trust to include all deeds of amendment and Deed of Appointment of Trustees, or Foundation constitutional documents
- Certified copies of the Identification documents for the settlors, beneficiaries owning more than 25% and trustees (or representatives) in accordance with those outlined above for Individuals
- Most current audited financial statements for the Trust, Foundation or similar entity
- Authorised Signatory List

### Pension Funds in Prescribed Country

- Name and address of underlying corporate employer
- Certified copy of the Declaration or Deed of Trust to include all deeds of amendment and Deed of Appointment of Trustees
- List of Trustees, directors or equivalent
- Letter of registration/approval of pension scheme with regulatory or tax authorities
- Certified Identification documents for 2 trustees/controllers in line with those outlined above for Individuals
- Authorised Signatory List

### Collective Investment Schemes in a Prescribed Country

- Name and address of collective investment scheme
- Name of regulator of the collective investment scheme
- Name, address and regulator of the Custodian and the Administrator
- Copy of prospectus/offering memorandum or similar
- Name, address and regulator of the Custodian and the Administrator
- Names of all beneficial owners owning more than 25% of the collective investment scheme
- Letters of Assurance from the Custodian and from the Administrator responsible for Transfer Agency services to the collective investment scheme
- Authorised Signatory List

For entities not falling into one of the above categories, please contact Registration Administration Team on: +353 1 609 4154 or by email at RADub@gam.com

GFML and the Fund reserve the right to ask for additional documentation.