

REDHEDGE UCITS ICAV



APPLICATION FORM

BNY Mellon Fund Services (Ireland) Designated Activity Company
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Dublin 1
Ireland.

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Fax number 353 1 900 6636
Email: RedhedgeInvestortrading@bnymellon.com (for trades)
 hedgeteam@bnymellon.com (for investor queries)

INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Your application (this “**Application**”) to invest in Redhedge UCITS ICAV (the “**ICAV**”) should be made by sending this Application Form (the “**Application Form**”) to the details noted on the cover page.

BNY Mellon Fund Services (Ireland) Designated Activity Company (the “**Administrator**”), acting on the ICAV’s behalf, must receive a completed Application Form for each initial subscription together with relevant Anti-Money Laundering documents. Where an application is made by fax or pdf attachment by email, the original signed Application Form, if required, must be mailed to the Administrator at the address noted on the cover page.

Applicants (the “**Applicants**”) must read the ICAV’s Prospectus (the “**Prospectus**”) before completing this Application Form.

Terms defined in the Prospectus have the same meaning in this Application Form.

This Application Form is the property of the ICAV and may not be tampered with or amended without the consent of the ICAV. Any breach of the foregoing may render the Application Form void.

Please enter all details(s) using block capitals.

Sections requiring completion (dependent on Applicant type):	Pages(s)
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*** Anti-money Laundering documentation requirements are outlined in Appendix 1**

**** If FATCA / CRS certification has been provided for this ICAV previously this information will not be required again unless the data previously supplied is no longer accurate.**

GENERAL INFORMATION

The ICAV reserves the right to reject any application in whole or in part, without giving any reason for such rejection in which event any application moneys will be returned without interest, expenses or compensation by transfer to the Applicant's designated bank account at the risk of the Applicant.

CONTRACT NOTES

It is anticipated that contract notes will normally be sent to Applicants as soon as possible, following the Valuation Day. Please ensure that appropriate email contact details are provided.

IMPORTANT: It is the responsibility of the Applicant to check the accuracy of information provided to you in any confirmation of ownership, any valuation statements and other reports issued by, or on behalf of, the ICAV. You should contact the Administrator immediately in the event that you believe the information to be incorrect. It will be assumed that you have received contract notes and that the details contained therein are correct unless you contact the Administrator within 24 hours of the date of issue.

SUBSCRIPTIONS

Subscription requests must be sent to the Administrator by facsimile or email PDF (with the originals to follow, where required, immediately thereafter) at the address detailed on the cover page.

Please refer to the Prospectus for details of the minimum initial subscription amount in respect of each Share Class.

Payment in respect of subscriptions must be received in cleared funds by the Administrator no later the Subscription Settlement Cut-Off time as outlined in the Supplement for the relevant Fund.

REDEMPTIONS

No redemption payment will be made unless the original subscription application form, if required, and all documentation required by or on behalf of the ICAV (including any documents in connection with anti-money laundering procedures) has been received from the investor by the Administrator on behalf of the ICAV and the anti-money laundering procedures have been completed. Failure to comply with the above will result in redemption proceeds not being paid.

Redemption requests must be received by the Administrator prior to the relevant Redemption Deadline as detailed in the relevant Supplement.

Redemption requests may be delivered by fax or via email as a PDF attachment, at the address noted on the cover page.

QUERIES

All queries regarding the completion of the Application Form should be addressed to the ICAV c/o the Administrator. The Administrator can be contacted by phone at +353 1 790 3555 or email at hedgeteam@bnymellon.com

APPLICANT DETAILS

Preferred Method of receipt of Account Communications. Select one of the following:

Fax ☐ E-Mail ☐

Applicant Name	
Applicant Name 2 (Joint Holder):	

Correspondence Details- Applicant 1	
Street Address:	
Town / City:	
Postcode:	
Country:	
Telephone / Mobile Number:	
Fax:	
E-mail:	

Registered Address- Applicant 1 (If different to the correspondence address above)	
Street Address:	
Town / City:	
Postcode:	
Country:	

Correspondence Details- Applicant 2	
Street Address:	
Town / City:	
Postcode:	
Country:	
Telephone / Mobile Number:	
Fax:	
E-mail:	

Registered Address- Applicant 2 (If different to the correspondence address above)	
Street Address:	
Town / City:	
Postcode:	
Country:	

Note: In the case of joint Applicants, e-mail correspondence will be sent to all Applicants.

INVESTMENT ADVISOR / INTERMEDIARY DETAILS
PLEASE TICK THE FOLLOWING BOX IF YOU WOULD LIKE YOUR ADVISOR / INTERMEDIARY TO RECEIVE COPIES OF ALL REPORTING RELATING TO YOUR ACCOUNT <input type="checkbox"/>
Name of Advisor/Intermediary:
Company Registration Number:
Is the Company Regulated?
Yes <input type="checkbox"/>
No <input type="checkbox"/>
Regulator Name:

CORRESPONDENCE DETAILS
Street Address:
Town / City:
Postcode:
Country:
Telephone:
Fax:
Email Address(es):

INVESTMENT DETAILS**Sub-Fund Name: Redhedge Relative Value UCITS Fund**

SHARE CLASS	ISIN	CASH AMOUNT	CASH AMOUNT IN WORDS
Class A – EUR	IE00BKPKGX98		
Class A - USD	IE00BM98XQ58		
Class A - CHF	IE00BM98XR65		
Class I - EUR	IE00BM98XS72		
Class R - EUR	IE00BM98XT89		
Class Z – EUR	IE00BKPKG06		
Class Z – USD	IE00BM98XV02		
Class Z - CHF	IE00BM98XW19		
Class S - CHF	IE000ACFLU33		

INVESTOR BANK DETAILS

Subscription monies must come from an account in the name of the registered investor, the details of which must be verified by the Administrator. Redemption proceeds will be paid in the currency of the denomination of the relevant Share Class. Please ensure that the bank details provided below are able to receive payments in the relevant currency. No third party payments are permitted. Amendments to bank details will only be made following receipt of an original written authorised instruction, where required.

Bank Name:	
Bank Address:	
BIC/SWIFT:	
Sort Code:	
IBAN:	
Account Number:	
Account Name:	

Intermediary/Correspondent Bank:	
BIC/SWIFT:	

INVESTMENT SETTLEMENT DETAILS

Listed below are the bank details to which your money should be settled in full by wire transfer. The Applicant's bank must be instructed at the time of application to forward the appropriate remittance by the fastest available means to reach the bank account listed below, net of charges, for value not later than the Subscription Settlement Cut-Off, as outlined in the Supplement for the relevant Fund, should be sent to:

Currency	Bank Code	Subcustodian BIC	Cash Account at Subcustodian Bank	Global Custodian BIC	Account Name	FFC BNYM IMMS A/C	IBAN Account Number
EUR	N/A	IRVTBEBBXXX The Bank of New York Mellon SA NV	N/A	BNYMIE2DXXX The Bank of new York Mellon SA Dublin Branch	Redhedge Relative Value Ucits Fd SR	1340159780	IE57BNYM00000013401580
USD	ABA :021000018	IRVTUS3N The Bank of New York, New York	8900285451	IRVTBEBBXXX The Bank of New York Mellon	Redhedge Relative Value Ucits Fd SR	1340158400	IE83BNYM00000013401500
CHF	N/A	CRESCHZZ80A CREDIT SUISSE (SWITZERLAND) LTD	0835-0596251-93-002	IRVTBEBBXXX The Bank of New York Mellon	Redhedge Relative Value Ucits Fd SR	1340157560	IE15BNYM00000013401560

DECLARATION OF RESIDENCE OUTSIDE OF IRELAND

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

Please tick one	
<input type="checkbox"/>	DECLARATION ON OWN BEHALF
<p>I/we* declare that I am/we are* applying for the shares on my own/our own behalf/on behalf of a company* and that I am/we are/the company is entitled to the shares in respect of which this declaration is made and that</p> <ul style="list-style-type: none"> I am/we are/the company is* not currently resident or ordinarily resident in Ireland, and Should I/we/the company* become resident in Ireland I/we* will so inform the Company, in writing, accordingly. <p>* Delete as appropriate</p>	
<input type="checkbox"/>	DECLARATION AS INTERMEDIARY
<p>I/we* declare that I am/we are* applying for shares on behalf of persons:</p> <ul style="list-style-type: none"> who will be beneficially entitled to the shares; and who, to the best of my/our* knowledge and belief, are neither resident nor ordinarily resident in Ireland. <p>I/we* also declare that:</p> <ul style="list-style-type: none"> unless I/we* specifically notify you to the contrary at the time of application, each application 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(s) shares, becomes resident in Ireland. <p>* Delete as appropriate</p>	

IMPORTANT NOTES

1. Declarations of Residence outside of Ireland are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Declaration of Residence outside of Ireland must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Applicant is a company, it must be executed under seal or signed by duly authorised signatories
3. If the Declaration of Residence outside of Ireland is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. If the Applicant is an Exempt Irish Investor it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status¹.
5. Definitions of an "Intermediary" and the concepts of "Residence in Ireland" and "Ordinary Residence in Ireland" are set out on the next page.

Date: _____	Capacity of authorized signatory (if applicable):
Signed:	
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

In the case of joint holders, ALL Applicants must complete this declaration.

¹ Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997.

DEFINITIONS RELATING TO THE DECLARATION OF RESIDENCE

Intermediary

An “Intermediary” means a person who:

- carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in the State on behalf of other persons;
- holds units in an investment undertaking on behalf of other persons.

Residence

Residence - Individual

An individual will be regarded as being resident in Ireland for a tax year if he/she is present in Ireland:

1. for a period of at least 183 days in that tax year; or
2. for a period of at least 280 days in any two consecutive tax years, provided that the individual is present in Ireland for at least 31 days in each period.

In determining days present in Ireland, an individual is deemed to be present if he/she is in Ireland at any time during the day.

Residence - Company

A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where: -

1. the company or a related company carries on a trade in Ireland, and either the company is ultimately controlled by persons resident in a Member State of the EU or countries with which Ireland has a double taxation treaty, or the company or a related company are quoted companies on a Recognised Exchange in the EU or in a treaty country under a double taxation treaty; or
2. the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country.

The exemption in 1 above, does not apply where it would result in an Irish incorporated company that is managed and controlled in a relevant territory (other than Ireland), but would not be resident in that relevant territory as it is not incorporated there, not being resident for tax purposes in any territory.

It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Consolidation Act, 1997.

The Finance Act 2014 (of Ireland) amended the above residency rules for companies incorporated on or after 1 January 2015. These new residency rules will ensure that companies incorporated in Ireland and also companies not so incorporated but that are managed and controlled in Ireland, will be tax resident in Ireland except to the extent that the company in question is, by virtue of a double taxation treaty between Ireland and another country, regarded as resident in a territory other than Ireland (and thus not resident in Ireland). For companies incorporated before this date these new rules will not come into effect until 1 January 2021 (except in limited circumstances).

It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and potential investors are referred to the specific legislative provisions that are contained in Section 23A of the Taxes Consolidation Act, 1997 (of Ireland), as amended.

Ordinary Residence - Individual

The term “ordinary residence” as distinct from “residence”, relates to a person’s normal pattern of life and denotes residence in a place with some degree of continuity.

An individual who has been resident in Ireland for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in Ireland ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in Ireland in the tax year 1 January 2011 to 31 December 2011 and departs from Ireland in that tax year will remain ordinarily resident up to the end of the tax year in 1 January 2014 to 31 December 2014.

RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013
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The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) of Ireland (the “RoV Regulations”) requires certain Irish investment undertakings to make annual returns to the Irish Revenue Commissioners of the value, in a tax year, of the investments held by certain unit holders.

In order to satisfy the RoV Regulations, the Company must collect the following additional information from any Applicants² which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the RoV Regulations):

Tax Reference Number (TRN) / PPS Number²	
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Furthermore, the RoV Regulations require the Company to seek appropriate documentation from the Applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient:

- P60
- P45
- P21 Balancing Statement
- Payslip (where employer is identified by name or tax number)
- Drug Payment Scheme Card
- European Health Insurance Card
- Tax Assessment
- Tax Return Form
- PAYE Notice of Tax Credits
- Child Benefit Award Letter /Book
- Pension Book
- Social Services Card
- Public Services Card

In addition, any printed documentation issued by the Irish Revenue Commissioners or by the Department of Social Protection which contains your name, address and TRN will also be acceptable. In the case of joint account holders,

¹ Where the Applicant is an intermediary and that Applicant will be or is, as applicable, the registered Shareholder, reporting obligations under the RoV Regulations may be carried out on the basis that the intermediary is the Shareholder. For these purposes, intermediary has the same meaning as in Section 739B (1) of the Taxes Consolidation Act, 1997 of Ireland, as amended, (the “Taxes Act”).

² A PPS Number is required if the relevant Applicant is an individual.

the additional documentation is required for each Applicant.

Your personal data will be processed in accordance with applicable data protection legislation. Further information on your data protection rights has been provided below.

CUSTOMER INFORMATION NOTICE – COMMON REPORTING STANDARD

The ICAV intends to 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 2014/107/EU (amending Council Directive 2011/16/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.

The ICAV is obliged under Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

In certain circumstances the ICAV may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the Company with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the ICAV to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the ICAV;

- The name, address, jurisdiction of residence, tax identification number and date and place of birth (in the case of an individual) of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person;
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period;
- the currency in which each amount is denominated.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the ICAV) may adopt the “wider approach” for CRS. This allows the ICAV to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The ICAV can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the ICAV's tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only: <http://www.oecd.org/tax/automatic-exchange/>.

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard and EU Council Directive 2014/107/EU (as applicable).

FATCA & CRS CERTIFICATION

I. FATCA & CRS CERTIFICATION

If you are a US Entity or US individual please complete the underlying Self Certification **and** provide a US Tax form (W-9)

For all Non-US Entities & Individuals please complete the underlying Self Certification **only**

**The latest W-9 form can be found on the IRS website at:
www.irs.gov/uac/IRS-Accessible-PDF-Forms.**

INDIVIDUAL SELF-CERTIFICATION 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/aeoi/index.html> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

Section 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 an *)

Section 1: Investor Identification

Investor Name*: _____

Current Residential Address*: _____

Number: _____ Street: _____

City, Town, State, Province or County _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street _____

City, Town, State, Province or County _____

Postal/ZIP Code: _____ Country: _____

Place and Date Of Birth*

Town or City of Birth*: _____ Country of Birth*: _____

Date of Birth*: _____

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

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

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

OR

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

Section 3: CRS Declaration of Tax Residency (please note you may choose more than one country)*

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

Country of Tax Residency	Tax ID Number

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

Section 4 – Type of Controlling Person

(ONLY to be completed by an 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 use a separate Self-Certification form for each Controlling Person.

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

**Please
Tick**

Entity Name

- Controlling Person of a legal person – control by ownership
- 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

Section 5: Declaration and Undertakings:

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

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

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

Authorised Signature*: _____

Print Name* _____

Date: (dd/mm/yyyy)*: _____

Capacity*: _____

ENTITIES

Entity Self-Certification 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/aeoi/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 advise of these changes promptly.

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

*(Mandatory fields are marked with an *)*

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*: _____ (the "Entity")

Country of Incorporation or Organisation _____

Current Registered Address* _____

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Section 2: FATCA Declaration Specified U.S. Person*:

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

a) The Entity **is** a *Specified U.S. Person* and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows (please also complete Sections 4 and 5):

U.S. TIN: _____ ☐

OR

b) The Entity is **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5) ☐

OR

c) The Entity is a US Person but **not** a Specified U.S. Person (please also complete Sections 4 and 5)

☐

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

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	
II.	<i>Registered Deemed Compliant Foreign Financial Institution</i>	
III.	<i>Participating Foreign Financial Institution</i>	

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:

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: _____ Sponsor's GIIN: _____	
II.	<i>Exempt Beneficial Owner</i>	
III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

3.4 Non-Financial Institutions under FATCA:

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

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity</i> <i>(If this box is ticked, please include individual self-certification forms for each of your Controlling Persons)</i>	
III.	<i>Excepted Non-Financial Foreign Entity</i>	

Section 4: CRS Declaration of Tax Residency (please note that 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 ("TINs")).

NOTE: Provision of a Tax ID number (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.

Country of Tax Residency	Tax ID Number

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/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

I.	<i>Financial Institution under CRS (other than (II) below)</i>
II.	<i>An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution</i> (If this box is ticked, please include the name of any Controlling Person(s) of the Entity and complete separate individual self-certification

	forms for each of your Controlling Persons**)
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5.2 Non Financial Institutions under CRS:

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

I.	<i>Active Non-Financial Entity</i> – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
II.	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank
III.	<i>Active Non-Financial Entity</i> – an International Organisation
IV.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)
V.	<i>Passive Non-Financial Entity</i> (If this box is ticked, please complete separate individual self-certification forms for each of your Controlling Persons**)

** Controlling Persons:

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

For further information on identification requirements under CRS for Controlling Persons, see the Commentary to Section VII of the CRS Standard

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/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 provided 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 account 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)*:

Print Name(s)*:

Capacity in which declaration is made*:

Date: (dd/mm/yyyy):* _____

KEY INVESTOR INFORMATION DOCUMENT DECLARATION
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I/We* hereby acknowledge that I/we* have been offered the choice of receiving the Prospectus and Key Investor Information Document (“**KIID**”) on paper or in electronic form by means of a website and hereby specifically consent to receiving the KIID in electronic form by way of accessing the latest version of the document online at <https://redhedge.com/strategies-and-funds-relative-value> (or such other website address as may be notified to me/us from time to time).

I/We* hereby represent that I/we* have regular access to the internet. The KIID will be available in <https://redhedge.com/strategies-and-funds-relative-value/> and I/we* hereby confirm that I/we* have also been notified electronically of this website address and the place on the website where the KIID can be accessed.

I/We* hereby acknowledge that I/we* have received or accessed by electronic means the KIID. I/We* hereby also confirm that I/we* will access the relevant KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any share class and/or Fund.

GENERAL DECLARATIONS

GENERAL DECLARATIONS

I/We* confirm that I am/we are* 18 years of age or over (natural persons only). I/we* have the capacity and authority to make the investment pursuant to this Application Form whether this investment is in my/our* name or is made on behalf of another person or institution. I/We* am/are* duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are* organised and I/we* have the power and authority to enter into and perform my/our* obligations under this Application Form.

I/We* hereby acknowledge that I/we* have received and read the current Prospectus relating to the ICAV, the Supplement relating to the relevant Fund, the KIID relating to the relevant Share Class and that this application is made on the terms of the Prospectus, the Supplement, the KIID and subject to the Instrument of Incorporation of the ICAV. I/We* acknowledge that the ICAV reserves the right to reject any application in whole or in part.

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 the ICAV 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.

I/We* agree that the issue and allotment to me/us* of the Shares is subject to the provisions of the Prospectus, the Supplement and the KIID, 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* are not relying on any information or representation other than such as may be contained in the Prospectus, the Supplement, the KIID and the most recent annual or semi annual report (if available) thereto.

I/We* hereby certify that I/we* am/are* not a US Person and that the Shares hereby applied for are not being acquired directly or indirectly by or on behalf of, or for the account of, a US Person³. I/We* further confirm that I/we* will notify the Administrator in the event that I/we* become a US Person or hold the Shares on behalf of, or for the account or benefit of, a US Person.

I/We* confirm that I/we* am/are not a “benefit plan investor”⁴ and am/are* not investing on behalf of a “benefit plan investor”.*(Benefit plan investors should contact the Administrator.)

I/We* hereby declare that I/we* am/are* not an Exempt Irish Investor (If you are an Exempt Irish Investor, you should request an Exempt Irish Investor Declaration from the Administrator.)

I/We* hereby warrant that I/we* have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the ICAV, am/are* aware of the risks inherent in investing in the assets in which the ICAV will invest and the method by which these assets will be held and/or traded, and can bear the loss of my/our* entire investment in the ICAV.

I/We* hereby declare that the Shares are not being acquired and will not be held in violation of any applicable laws.

I/We* agree not to duplicate or to furnish particulars of the Prospectus, or to divulge any of its contents, to any person other than my/our* investment, legal or tax advisors (who may use the information contained in the Prospectus solely for purposes relating to my/our* investment in the ICAV).

I/We* hereby confirm that I/we* shall be deemed to make, on a continuing basis, each of the statements contained herein unless I/we* notify you to the contrary in relation to any Shares I/we* may hold or obtain at any time.

I/We* hereby agree to indemnify and hold harmless the ICAV, the Manager, the Directors, the Investment Manager, the Administrator, the Depositary or their authorised agents or delegates and the Shareholders 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 the undersigned to the ICAV.

I/We* am/are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment and the potential difficulties in selling or transferring my/our Shares for an indefinite period of time. I/We* do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.

I/We* hereby undertake to pay cleared monies in respect of my/our Shares on or before the Subscription Settlement Cut-Off, as outlined in the Supplement for the relevant Fund, unless otherwise agreed by the Directors. I/We* acknowledge that my/our application is irrevocable on receipt regardless of the timing of receipt of cleared monies. I/We* agree to indemnify each of the Administrator, the Depositary, the Investment

³ Applicants who are unable to make this certification MUST contact the Administrator to obtain a copy of the US Persons Application Form.

⁴ The term “benefit plan investor” refers to (i) any “employee benefit plan” as defined in the Employee Retirement Income Security Act of 1974, as amended (“ERISA”), regardless of whether it is subject to ERISA, (ii) any “plan” as defined in section 4975 of the Internal Revenue Code of 1986, as amended (the “Code”), regardless of whether it is subject to Section 4975 of the Code, and (iii) any entity deemed for any purpose of ERISA or Section 4975 of the Code to hold assets of any such employee benefit plan or plan due to investments made in such entity by such employee benefit plans and plans. Benefit plan investors include, but are not limited to, corporate pension and profit sharing plans, “simplified employee pension plans,” KEOGH plans for self-employed individuals (including partners), individual retirement accounts, medical benefit plans, life insurance plans, church plans, governmental plans, foreign plans, bank commingled trust funds or insurance company separate accounts, for such plans and accounts, and, under certain circumstances, all or a portion of the general account of an insurance company.

Manager and the Manager and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them owing to the late or non-receipt of cleared monies. I/We* hereby acknowledge that my/our Shares may be cancelled or that interest may be charged to me/us in accordance with the Prospectus and Instrument of Incorporation if cleared monies are not received within the above timeframes.

In respect of joint applicants only, I/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 administrator of the last of such survivor or survivors.

I/We* hereby agree to indemnify the ICAV, the Manager and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile instructions. The ICAV, the Manager, the Directors and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons

In accordance with the provisions of the Data Protection Act 2018 (as may be amended or supplemented from time to time) and the EU's General Data Protection Regulations 2016/679 (the "GDPR" (together the "**Data Protection Legislation**"), I/We hereby acknowledge and are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the ICAV, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "**Personal Data**"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the ICAV as a "data controller" under the Data Protection Legislation, and as further described in the ICAV's data privacy statement, which is set out in this Application Form.

I/We hereby undertake to provide information to the ICAV or the Administrator as may be required for the establishment and maintenance of the ICAV's beneficial ownership register in accordance with the European Union (Anti- Money Laundering Beneficial Ownership of Corporate Entities) Regulations 2016 as may be amended from time to time (the "**Beneficial Ownership Regulations**"). I/We hereby consent to the publication of such information in accordance with the requirements of the Beneficial Ownership Regulations.

I/We hereby acknowledge that it is our responsibility to check the accuracy of information provided in any confirmation of ownership, any valuation statements and other reports (collectively "**contract notes**") issued by the Administrator on behalf of the relevant Fund. It will be assumed that we have received contract notes and that the details contained therein are correct unless we contact the Administrator within 24 hours of the date of issue. The ICAV and the Fund's liability and the Administrator's ability to change contract notes will be restricted after this time, however, the Administrator, the ICAV and the Manager reserve the right to correct errors at any time and will endeavour to ensure errors are corrected.

This Application Form and any or all non-contractual obligations arising in connection with it shall be governed by and construed in accordance with Irish Law. Each party hereto submits to the jurisdiction of the Irish courts; and to the fullest extent permissible all disputes will be governed by Irish law. With respect to any suit, action or proceedings relating to any dispute arising out of or in connection with this Application Form (including any non-contractual obligations arising out of or in connection with it) ("Proceedings"), each party and the irrevocably: (a) submits to the jurisdiction of the Irish courts; (b) waives any objection which it may have at any time to the laying of venue of any Proceedings brought in any such court, waives any claim that such

Proceedings have been brought in an inconvenient forum and further waives the right to object, with respect to such Proceedings, that such court does not have any jurisdiction over such party; and (c) agrees, to the extent permitted by Irish law, that the bringing of Proceedings in any one or more jurisdictions will not preclude the bringing of Proceedings in any other jurisdiction.

DATA PRIVACY STATEMENT

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Data Protection Act 2018) (collectively, “**Data Protection Legislation**”) Redhedge UCITS ICAV (the “**Fund**”) being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Fund will be processed by the Fund, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Fund acting as a data controller may itself (or through third parties including but not limited to KBA Consulting Management Limited (the “**Manager**”) and, BNY Mellon Fund Services Ireland) Designated Activity Company (the “**Administrator**”), together with any distributors that may be appointed from time to time (collectively the “**Distributor**”), local paying agents and mailing firms appointed by any of the foregoing (together the “**Service Providers**”) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require.

The Administrator may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where mandated by a court order or regulatory sanction). The Administrator, in respect of this specific use of personal data, acts as a data controller. In circumstances where the Administrator acts as a data controller in respect of the information that has been provided to it by you, all rights afforded to you as a data subject under GDPR shall be exercisable by you solely against the Administrator.

The Bank of New York Mellon SA/NV, Dublin Branch (the “**Depository**”) may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where mandated by a court order or regulatory sanction). The Depository, in respect of this specific use of personal data, acts as a data controller. In circumstances where the Depository acts as a data controller in respect of the information that has been provided to it by you, all rights afforded to you as a data subject under GDPR shall be exercisable by you solely against the Depository.

Please note the following:

Purposes of Processing and Legal Basis for Processing

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares in the Fund will be collected, stored, disclosed, used and otherwise processed by the Service Providers for the purposes outlined in the table below.

Processing Activity by or on behalf of the Fund	Legal Basis for Processing
Where you are a natural person, opening your account with the Fund and managing and administering your holdings in the Fund and any related account on an ongoing basis.	Performance of the contract between the Fund and you
Where you are a natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of	Performance of the contract between the Fund and you.

Processing Activity by or on behalf of the Fund	Legal Basis for Processing
the day to day operations of the Fund.	
Where you as an investor are a non-natural person, disclosures to third parties such as auditors, regulatory bodies, tax authorities and technology providers in the context of the day to day operations of the Fund.	Pursuing the legitimate interests of the Fund in managing and administering the holdings of the non-natural persons in the Fund and any related account on an ongoing basis.
Complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under Fund law, the UCITS Regulations, the Central Bank Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation.	Compliance with a legal obligation to which the Fund is subject
Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Fund, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes.	<p>Pursuing the legitimate interests of the Fund.</p> <p>Further information relating to the balancing test undertaken by the Fund in respect of such processing is available upon request.</p>

Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Fund and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.

Profiling and Screening

The Fund and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“EU”), the United Nations (“UN”), Her Majesty’s Treasury (“HMT”) and the Office of Foreign Assets Control (“OFAC”) for the purposes of complying with for the purposes of complying with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 as may be amended or replaced from time to time and with UN, EU and other applicable sanctions regimes. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR. Further information is available in the prospectus for the Fund.

Undertaking in connection with other parties

By agreeing to provide personal data to the Fund, you undertake to be authorised to disclose to the Fund relevant information applicable to the beneficial owner of the investment, to your directors and authorised signatories and to persons that own, directly or indirectly, an interest in the Fund. In this respect you confirm that you have provided these persons with all the information required under applicable data protection law, notably regarding their data protection rights, and received from these persons their authorisation for the processing and transfer of their personal data to us.

Disclosures to Service Providers and / or Third Parties

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Fund and its or their duly appointed agents and any of related, associated or affiliated companies where required for the purposes specified above.

These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The Fund may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities and technology providers.

Transfers Abroad

Personal data collected from you or provided by you or on your behalf may be transferred outside of Ireland including to companies situated in countries outside of the European Economic Area (“EEA”) which may not have the same data protection laws as in Ireland.

Where data transfers outside of the EEA take place, the Fund has taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular the implementation of binding corporate rules and/or ensuring the implementation of model contracts by the Service Providers and their affiliates.

Data Retention Period

The Fund and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Fund for such period of time as may be required by Irish legal and regulatory requirements, being at least six years after the period of your investment has ended or the date on which you had your last transaction with us.

Your data protection rights

Please note that you have the following rights under the GDPR. In each case, the exercise of these rights is subject to the provisions of the GDPR:

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund infringes the GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).
- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.

- (vii) You also have the right to object to processing where the Fund is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Fund, please contact us via the details provided below under “Contact Us”.

The Fund or its Service Provider will respond to your request to exercise any of your rights under the GDPR in writing, as soon as practicable and in any event **within one month** of receipt of your request, subject to the provisions of the GDPR. The Fund or its Service Provider may request proof of identification to verify your request

Failure to provide personal data

Please see the prospectus for the Fund for further information on failure to provide personal data.

Contact us

If you have any questions about our use of your personal information, please contact the Administrator at hedgeteam@bnymellon.com

ANTI-MONEY LAUNDERING REQUIREMENTS

We require detailed verification of each Applicant's and investor's identity for anti-money laundering purposes, in accordance with the Criminal Justice (Money Laundering & Terrorist Financing) Act 2010.

The information in Appendix 1 will provide you with the minimum requirements for different types of Applicants, for example individuals and corporate entities. It is strongly recommended that you contact the Administrator for full list of identification / verification documents before you send the instructions to place a subscription.

The ICAV reserves the right to request any further documentation it requires to satisfy its obligations under anti-money laundering procedures or legislation.

SIGNATURE

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

I/We* declare that I/we* have read and fully understand all terms, representations, and conditions in this form.
(* delete as applicable).

Applicant / Authorised Signatory Name:

Capacity of Authorised Signatory (if applicable)

Signature:

Date:

Applicant / Authorised Signatory Name:

Capacity of Authorised Signatory (if applicable)

Signature:

Date:

Applicant / Authorised Signatory Name:

Capacity of Authorised Signatory (if applicable)

Signature:

Date:

Applicant / Authorised Signatory Name:

Capacity of Authorised Signatory (if applicable)

Signature:

Date:

IMPORTANT:

To be valid Application Forms must be signed by each Applicant and received by the Administrator. In the case of a legal entity, Applications Forms should be executed under seal or signed by duly authorised signatories provided that a copy of the authorised signatories list together with sample signatures and details of any signing protocol accompanies the Application Form. If this Application Form is signed under power of attorney such power of attorney or a copy thereof must accompany it. The right is reserved to reject any Application Form in whole or in part or to seek such further information as the ICAV may require to satisfy itself in regard to the identity and legal capacity of any Applicant.



Appendix 1 - Anti-Money Laundering Supplement

Your subscription agreement may not be deemed complete, and you may not be deemed an investor in the Fund, regardless of whether you have already wired monies, until all of the required documentation is received by BNY Mellon Fund Services (Ireland) DAC ("BNY Mellon"), the Administrator.

Any delay in providing documentation may result in delayed processing of the application, delayed processing of a subsequent subscription and or delayed payment of any future payment proceeds.

Section III provides a guide of common documentation requirements for the more frequently seen Investor types. Depending on its risk assessment of an Investor, the Administrator reserves the right to request additional documentation as may be required from time to time. For further information, please contact BNY Mellon using the contact details contained within the subscription document.

Enhanced Due Diligence is required on investors who are Politically Exposed Persons or an immediate family member, or a close associate of, a Politically Exposed Person ("PEP").

The Administrator will require additional information where the investor is a PEP or in order to disregard the investor as a possible PEP.

All documentation should be provided in English. Where documents are not available in English, please contact the Administrator for further information.

I. APPLICANT DETAILS:

- (a) Name of Applicant: _____
- (b) Residential/Registered Address: _____
- (c) Occupation (Individual Applicants): _____
Business Purpose: (Corporate Applicants): _____
- (d) Date of Birth (Individual Applicants): _____

All investors must complete Exhibit A.

All Entity (non-individual) applicants must complete Exhibit B or Exhibit C, as applicable. This information must accompany your initial subscription.

II. PAYMENT INFORMATION

- (a) Name of the bank including BIC Code, Fed Wire, SWIFT or Sort Code from which your payment to the Fund is being wired (the "Wiring Bank"): _____
- (b) Name and number of account at the Wiring Bank which is being debited:

- (c) Are you a customer of the Wiring Bank?

YES NO
☐ ☐

You must wire the payment from an account in your name. Third Party payments are not accepted. Where monies are wired from a joint account, with one party being the Investor, verification of identity per that of Individuals listed under 2 or 3 below is required for each additional party.

III. ADDITIONAL INFORMATION

Third Party Reliance

For Relevant Third Parties⁵ in an Equivalent Country⁶ that will be introducing investors (where you, the Relevant Third Party are not the named registered investor and propose a reliance on you for the required information and documentation regarding the registered investor)

Please complete the Third Party Reliance Letter at Exhibit D.

By completing this letter in lieu of any other documents listed in the AML Supplement, the investor acknowledges that BNY Mellon is placing reliance on the Relevant Third Party, confirms that Customer Due Diligence (CDD) documentation will be made available and also confirms that the entity has adequate anti-money laundering policies and procedures in place which are consistent with all applicable anti-money laundering laws and regulations with the regulated jurisdiction in which they operate.

The following materials must be provided to the Administrator and all copies must be certified by an appropriate authority^{**} where required. If you do not fall into one of the below criteria, please contact the Administrator for confirmation of the required materials. The below list is not exhaustive and is provided as a guide only. For further clarification please contact the Administrator:

1. For a regulated entity in an Equivalent Country⁶ (where you, the regulated entity are the named registered investor)

- ☐ Please provide the name of your Regulator and Licence or Registration Number:

Name of Regulatory Authority or website URL _____

Registration/License No: _____

- ☐ A certified true copy of the Authorised Signatory List
- ☐ Confirmation of the beneficial owner of the regulated entity – please complete Exhibit B or C as applicable
- ☐ Is the investment proprietary? _____

If the investment is non-proprietary please complete Exhibit B or C on behalf of the underlying beneficial owner of the investment that the investor is acting on behalf of OR alternatively please complete Exhibit E. _____

For nominees/wholly owned subsidiaries of a regulated entity in an Equivalent Country⁶

⁵ A "Relevant Third Party" is a regulated financial institution (i.e., bank or broker-dealer), a credit institution, a financial institution, an auditor, external accountant or tax adviser, a relevant independent legal professional, a trust or company service provider that is located in an Equivalent Country

^{**} All copies can be certified by any of the following; a police officer, chartered and certified public accountant, notaries public, solicitor, embassy and consular staff or a representative of your Bank, registered broker-dealer or other regulated financial institution. Each document should be marked with the words 'original seen' or 'true' copy of original documents'. The document should be signed by the entity certifying the document and noting their capacity and licence number (if applicable).

⁶ Equivalent Countries: EU Member States and Australia, Canada, Hong Kong, Japan, Norway, South Korea, Singapore, Switzerland, United Kingdom, USA, The UK Crown Dependencies jurisdictions (Jersey, Guernsey, and Isle of Man)

Please provide the name of the parent company Regulator and Licence or Registration Number:

Name of Regulatory Authority or website URL _____

Registration/License No: _____

- ☐ A certified true copy of the Authorised Signatory List
- ☐ Confirmation of the beneficial owner of the nominee entity – please complete Exhibit B or C as applicable
- ☐ Please complete Exhibit B or C on behalf of the underlying beneficial owner of the investment that the investor is acting on behalf of OR alternatively please complete Exhibit F. _____

2. For Individuals in an Equivalent Country⁶ (Documentation is required for each Joint Investor as applicable)

- ☐ A copy of: a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 1 copy of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*); **or**

3. For all other Individuals

- ☐ An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and **2** different forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*)

4. For Listed Companies⁷ in an Equivalent Country⁶

- ☐ Name of Exchange or Exchange's Website URL: _____
- ☐ A certified true copy of the Authorised Signatory List
- ☐ Confirmation of the beneficial owner of the entity – please complete Exhibit B or C as applicable

5. For Private Companies in an Equivalent Country⁶

- ☐ A copy of a certificate of due formation and organisation and continued authorisation to conduct business in the jurisdiction of its organisation (e.g. Certificate of Incorporation/Registration)
- ☐ A copy of the Memorandum and Articles of Association or equivalent constitutional document
- ☐ A certified true copy of the Authorised Signatory List
- ☐ A copy of Register of Shareholders (beneficial owners) including percentage holdings. Please note we are required to identify the individuals who directly, or indirectly, are the beneficial owner of 25% or more of any voting or non-voting class of equity interests of the prospective investor or exercise control over the management of the company
- ☐ A copy of Register of Directors

⁷ Listed company is one whose securities are admitted to trading on a regulated market

- ☐ For 2 Directors, or one director and one authorised signatory⁸: A copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*); or identification requirements per legal form if not individuals

6. For all other Private Companies

- ☐ All documents detailed in section 5 above as original wet ink certified documents; and
- ☐ For 2 Directors, or one director and one authorised signatory: An original ink certified true copy of a government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*); or identification requirements per legal form if not individuals
- ☐ For all beneficial owners as described above: An original ink certified true copy of a government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*); or identification requirements per legal form if not individuals

7. For Public Bodies⁹ in an Equivalent Country⁶

- ☐ Please provide URL to relevant website detailing status as a Public Body

- ☐ A certified true copy of the Authorised Signatory List

8. For Public Bodies/Local Authorities in an Equivalent Country⁶ (where 7. above does not apply)

- ☐ A copy of the relevant Constitution/Formation Document
- ☐ A certified true copy of the Authorised Signatory List
- ☐ A copy of list of Public Body Official

9. For all other Public Bodies/Local Authorities

- ☐ All documents detailed in section 8 above; and
- ☐ For 2 officials, or one official and one authorised signatory⁸: An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*)

It should be noted that Public Bodies/ Local Authorities in certain jurisdictions may fall into the category of entities which are owned or controlled by PEPs and therefore may be subject to additional documentation requirements as well as Senior Management approval prior to account opening.

⁸ If providing documents for an authorised signatory, documents must be provided for individual signing the subscription document.

⁹ (a) the applicant has been entrusted with public functions pursuant to the Treaty on the European Union, the Treaties on the European Communities or Community secondary legislation or (b) the applicant's identity is publicly available, transparent and certain in the reasonable opinion of BNYM (c) either the applicant is accountable to a Community institution or to the public authority of an EEA state. (d) a body, organisation or group organised under the Freedom of Information Act 1997

10. For Pension Schemes Providing Retirement Benefits to Employees in an Equivalent Country⁶

- ☐ A copy of the relevant Revenue/Tax Authority /Pensions Board approval certificate
- ☐ A certified true copy of the Authorised Signatory List

For Pension Schemes in an Equivalent Country⁶ (where 10. above does not apply)

- ☐ A copy of the relevant Revenue/Tax Authority approval certificate
- ☐ A copy of the relevant Constitution/Formation Document
- ☐ A copy of List of Trustees/Directors/Governors or equivalent
- ☐ For 2 Trustees/directors, or one Trustee/director and one authorised signatory, a copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 1 form of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc.); or if not an individual, identification documentation per legal form
- ☐ A certified true copy of the Authorised Signatory List

11. For all other Pension Schemes

- ☐ All documents detailed in section 11 above as original wet ink certified documents.
- ☐ For 2 Trustees/directors, or one Trustee/director and one authorised signatory, An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement etc.)
- ☐ For the Administrator/ Trustee/Controller(s): An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc.); or identification per legal form

12. For Private Trusts in an Equivalent Country⁶ (

- ☐ A copy of the Trust Deed or equivalent constitutional document
- ☐ A certified true copy of the Authorised Signatory List
- ☐ A copy of the list of all trustees (if not contained in the Trust Deed)
- ☐ A copy of list of beneficiaries/ grantors/ settlors/ protectors/ appointers/ and any other role specified in the trust deed if not already named in such
- ☐ For 2 Trustees or one trustee and one authorised signatory⁸. A copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 1 form of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement etc.); or if not an individual, identification documentation per legal form

13. For all other Private Trusts

- ☐ All documents detailed in section 13 above as original wet ink certified documents; and
- ☐ For 2 Trustees or one trustee and one authorised signatory⁸. An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current residential address dated with the last

6 months (e.g., current utility bill, bank statement *etc.*); or if not an individual, identification documentation per legal form

- ☐ For the Owner(s)/Controller(s)/Settlor/Grantor/Enforcer/Appointer/Beneficiaries: An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, *etc.*), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement *etc.*); or if not an individual, identification documentation per legal form

14. For Partnerships in an Equivalent Country⁶

- ☐ A copy of the Partnership Agreement or appropriate excerpts
- ☐ A copy of Register of Shareholders (beneficial owners) including percentage holdings if not already included in the Partnership Agreement.
- ☐ A certified true copy of the Authorised Signatory List
- ☐ For 2 Partners¹⁰, or one partner and one authorised signatory⁸: A copy of a valid government issued form of picture identification with specimen signature (e.g., passport, *etc.*), and 1 form of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement *etc.*)

15. For all other Partnerships

- ☐ All documents detailed in section 15 above as original wet ink certified documents.
- ☐ For 2 Partners, or one partner and one authorised signatory⁸: An original ink certified true copy of a valid government issued form of picture identification with specimen signature (e.g., passport, *etc.*), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement *etc.*); or if not an individual, identification documentation per legal form
- ☐ For any beneficial owner who is an individual or entity who ultimately is entitled to or controls, 25% or more of the capital or profits of the partnership., otherwise exercises control over management of the partnership an original ink certified copy of a valid government issued form of picture identification with specimen signature (e.g., passport, *etc.*), and 2 forms of proof of current residential address dated with the last 6 months (e.g., current utility bill, bank statement *etc.*); or if not an individual, identification documentation per legal form

16. For Registered Charities/Foundations in an Equivalent Country⁶

- ☐ A copy of the relevant Revenue/Tax Authority approval or proof of registration status from the relevant Charity Commission or equivalent
- ☐ Nature/purpose including the nature of the funding
- ☐ A certified true copy of the Authorised Signatory List
- ☐ Confirmation as to whether there is any beneficial owner owning greater than 25% of the Charity/Foundation

¹⁰ Where the General Partner has control over the Partnership, identification documents must be provided for this individual/entity in addition to documentation for one additional partner or authorised signatory. Identification documentation is required per the legal form of the General Partner.

17. For all other Charities/Foundations

- ☐ An original ink certified true copy of the relevant Constitutional/Formation Document (or Audited Accounts)
- ☐ An original ink certified true copy or original of Authorised Signatory List
- ☐ An original ink certified true copy or original list of beneficiaries (or where applicable, class of beneficiaries)
- ☐ An original ink certified true copy or original list of Trustees/Directors/Governors (or equivalent)
- ☐ For 2 Trustees/Directors/Governors/Board Members or one and one authorised signatory⁸: An original ink certified copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 2 forms of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*);

18. For Clubs and Societies in an Equivalent Country⁶

- ☐ A copy of a letter detailing the legal status and purpose of the Club/Society including names of all Officers
- ☐ A copy of constitution document, e.g. Trust Deed
- ☐ A certified true copy or original Authorised Signatory List
- ☐ For 2 Officers, or one officer and one authorised signatory⁸: A copy of a valid government issued form of picture identification with specimen signature (e.g., passport, etc.), and 1 form of proof of current residential address dated within the last 6 months (e.g., current utility bill, bank statement *etc.*);

19. For Collective Investment Schemes in an Equivalent Country⁶

- ☐ Regulatory authority's website confirming that the collective investment scheme is regulated in an EU Member State or equivalent. _____
- ☐ A certified true copy of the Authorised Signatory List
- ☐ Confirmation as to whether there is any beneficial owner owning greater than 25% of the Collective Investment Scheme

20. For Collective Investment Schemes (in an Equivalent Country, not regulated)

- ☐ A copy of the Prospectus or Operating Memorandum
- ☐ A certified true copy of the Authorised Signatory List
- ☐ A copy of the Register of Shareholders including percentage holdings. Note we are required to identify and verify the scheme investors holding over 25% ownership of the Collective Investment Scheme.

EXHIBIT A

POLITICALLY EXPOSED PERSON

Is the Investor or, if applicable, any of its underlying beneficial owners¹¹, controllers or Authorised Persons (e.g. director, trustee etc.) a politically exposed person¹²?

Yes ☐

No ☐

If yes, please state which government: _____

If yes, please state what position in the government: _____

If an immediate family member or close associate of a politically exposed person, please state the nature of the relationship _____

¹¹ Beneficial owners are those individuals that own or control, whether through direct or indirect ownership more than 25% of the shares or voting rights in the investor company or otherwise exercises control over the management in the investor company.

¹² *** “politically exposed person” means an individual who is, or has at any time 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;

“specified official” means 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 a parliament; (c) a member of a 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’affaires or high-ranking officer in the armed forces.

****The definition also expands to a “close associate”, “immediate family member” of a politically exposed person and includes any of the following persons:

a)any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b)any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c)any spouse of a PEP c)any person who is the equivalent of a spouse under the national law of the place where the PEP resides e)any cohabitant, f) any child or parent of the politically exposed person or spouse of the child g)any other family member who is of a prescribed class

EXHIBIT B

BENEFICIAL OWNERSHIP INFORMATION

To Be Completed By ALL Entity Investors

Instructions:

Please complete and return this Exhibit and provide the name of every person who is directly, or indirectly through intermediaries, the beneficial owner of 25% or more of any voting or non-voting class of equity interests of the Investor or each partner owning 25% or more if a partnership.

If the intermediary's shareholders or partners are not individuals, continue up the chain of ownership listing their 25% or more equity interest holders until individuals are listed.

If there are no 25% beneficial owners, please write "None".

IF THE INVESTOR IS ACTING ON BEHALF OF A THIRD PARTY, THE ABOVE IS ALSO REQUIRED SEPARATELY FOR THE THIRD PARTY.

<u>Full Name</u>	<u>Date of birth and Occupation</u>	<u>Address</u>

EXHIBIT C

TRUST OWNERSHIP INFORMATION

To Be Completed By Entity Investors That Are Trusts

Instructions:

Please complete and return this Exhibit and provide the name of:

- i) every current beneficiary that has, directly or indirectly, a vested interest in the trust;
- ii) every person who contributed assets to the trust (settlers or grantors); and
- iii) every trustee, protector, appointer.

If there are intermediaries that are not individuals, continue up the chain of ownership listing their 25% or more equity interest holders until individuals are listed.

Full Name and Address_(Business and <u>Residential</u>)	Status (Beneficiary/Settlor/ <u>Trustee</u>)	Citizenship (for Individuals) or Principal Place of <u>Business (for Entities)</u>

EXHIBIT D

[Date]

BNY Mellon Fund Services (Ireland) DAC
[Insert BNYM address]

Investor Name: *Insert 'All' if this letter is required to cover all investors introduced by this intermediary.*

Dear Sirs:

Re: Anti Money Laundering and Customer Due Diligence Representations and Warranties

[Full Legal name of Regulated Institution] acts as [Indicate relationship i.e. Administrator, Custodian, Manager, Trustee, Bank or Specify Otherwise] to [investors introduced by us to investment funds for which you act as administrator]¹³ [Regulated Institution] is organised under the laws of [Country]. [Regulated Institution] has its principal address at [physical address and Country] and is regulated by [Full Legal name of Regulatory Body] for the purposes of combating money laundering and terrorist financing.

Regulatory Licence No. or Registration No: [... ..]

[Regulated Institution] hereby confirms that we comply with **[Local AML/CFT regulations to be named]** of **[Country]** ('the Regulations'), set in line with FATF requirements. We make the following representations and undertakings:

Customer Due Diligence

1. We have customer due diligence measures in place to identify and verify the identity of the introduced investor(s) and, where appropriate, enhanced due diligence measures where there is an increased risk of money laundering and terrorist financing. We have conducted appropriate customer due diligence on the introduced investors [(whose names are set out in the attached Appendix I)]¹⁴ and, where applicable, on the beneficial owners of such investor(s);
2. [We will conduct such verification and due diligence of any new investors and beneficial owner(s), where applicable;]¹⁵
3. To the extent that the introduced investor(s) or Beneficial Owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate of a regulated entity. We will not accept investments from or on behalf of [foreign] shell banks;

OFAC/EU Sanctions Representation and Warranties

4. We have confirmed and verified that none of the introduced investor(s), persons controlling or controlled by the introduced investor(s), persons having a beneficial interest in the introduced investor(s), or persons for whom an introduced investor(s) is acting as nominee, is: named on a list of prohibited countries, territories, entities and individuals maintained by and updated by the OFAC (Office of Foreign Assets Control), EU, UN or any local lists issued by the **[country]** competent authorities (composite list of persons and organisations against whom sanctions have been imposed);

General Provisions

¹³ If LOU to cover just one specific investor, remove bracketed wording and insert investor name, entity type and country.

¹⁴ Do not insert bracketed wording where LOU applies to all investors introduced by the designated person or to just one investor.

¹⁵ Insert this paragraph where the LOU applies to all investors introduced by the designated person.

5. We acknowledge that for the purpose of meeting its own customer due diligence obligations, and in accordance with the Section 40 of the Criminal Justice Acts 2010 and 2018, BNY Mellon Fund Services (Ireland) DAC is placing reliance on the customer due diligence measures of **[Full Legal name of Regulated Institution]** with respect to the introduced investors, and where applicable the beneficial owners, performed in accordance with the Regulations;
6. We will retain and maintain documentary evidence of the identity of the introduced investor(s) and, where applicable, their beneficial owners, for a period of at least five years from the cessation of our relationship with the introduced investor;
7. We confirm that investors introduced to the Fund are in good order at the time of their account opening request.
8. We confirm that relationship with investors introduced in the Fund are not governed by secrecy, non-disclosure or similar agreement that would prevent **[Full Legal name of Regulated Institution]** from fulfilling the obligations set out in this letter.
9. We confirm that we have not entered into a reliance agreement with another party or place reliance on a third party to undertake due diligence on our behalf. Furthermore, we confirm there is no chain reliance in place.
10. We agree that we won't introduce any PEP investor or any investor being of a higher risk for money laundering and terrorist financing purposes to the Fund. Should an investor become a PEP or high risk, we will inform BNYM immediately.
11. We agree to furnish you with the documentary evidence retained by us concerning the introduced investor(s) and, where applicable, their beneficial owners, upon request by BNYM and without any delay. We agree that failure to provide documentation may result in the blocking of the account(s) of the introduced investor(s) to any transactions until receipt of all required documents, including potential discontinuance of the relationship.

Yours sincerely,

Full Name & Position:

On behalf of **[REGULATED INSTITUTION]**

Contact Telephone:

Contact Email:

EXHIBIT E

ON LETTERHEAD ADDRESSED TO BNYM FUND SERVICES

Date:

Registered Investor Name:

Registered Address:

Country:

Regulator:

Please accept the following confirmations regarding investments we make into funds for whom BNY Mellon Fund Services (Ireland) DAC is the administrator:

- We are acting on behalf of one or more of our underlying customers;
- We provide _____ services to these customers;
- We are regulated by the above-noted regulator for the purposes of combating money laundering and terrorist financing;
- We are effectively supervised by the above noted regulator for our compliance with these requirements;
- We have customer due diligence measures in place to identify and verify the identity of our underlying customers and, where applicable, on their beneficial owners, and have completed such regarding the underlying customers that beneficially own any investment we make;
- We confirm that the underlying customers who beneficially own the investments we make are a) not politically exposed, and b) not domiciled in a country that the European Union regards as high risk*.

We will specifically notify you if an investment we make is beneficially owned by a politically exposed person or who is domiciled in a country that the European Union regards as high risk.

- To the extent that our underlying customer or its beneficial owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate of a regulated entity. We will not accept investments from or on behalf of shell banks;
- We have confirmed and verified that none of our underlying customers, the persons controlling our underlying customers, persons having a beneficial interest in our underlying customers, or persons for whom our underlying customer is acting as nominee, is: named on a list of prohibited countries, territories, entities and individuals maintained by and updated by the OFAC (Office of Foreign Assets Control) or EU (composite list of persons and organisations against whom sanctions have been imposed);

- We retain and maintain documentary evidence of the identity of our underlying customers and, where applicable, their beneficial owners, for a period of at least five years from the cessation of our relationship with our underlying customer;
- We agree to furnish you with identification of our underlying customers and the documentary evidence retained by us concerning the underlying customers and, where applicable, their beneficial owners immediately upon request.

If there are questions or requests arising in future from these confirmations, please use the following contact details: _____

Sincerely,

FULL NAME AND POSITION

On behalf of _____

* https://ec.europa.eu/info/policies/justice-and-fundamental-rights/criminal-justice/anti-money-laundering-and-counter-terrorist-financing/eu-policy-high-risk-third-countries_en

EXHIBIT F

ON LETTERHEAD ADDRESSED TO BNYM FUND SERVICES

Date:

Registered Investor Name:

Registered Address:

Country:

Please accept the following confirmations regarding investments we make into funds for whom BNY Mellon Fund Services (Ireland) DAC is the administrator:

- [Full Legal name of Nominee entity] acts as [Indicate relationship i.e. Nominee, Custodian, Manager, Trustee, Bank or Specify Otherwise] to investors introduced by us to investment funds for which you act as administrator.
- [Full Legal name of Nominee entity] is a wholly owned subsidiary of [Regulated Institution].
- [Regulated Institution] is organised under the laws of [Country]. [Regulated Institution] has its principal address at [physical address and Country] and is regulated by [Full Legal name of Regulatory Body] for the purposes of combating money laundering and terrorist financing.
- Regulatory Licence No. or Registration No:

[Regulated Institution] hereby confirms that in accordance with the standards of a prudent professional and the applicable laws and regulations of the jurisdiction in which we are regulated, we make the following representations and undertakings:

- We have customer due diligence measures in place to identify and verify the identity of our underlying customers and, where applicable, their beneficial owners, and have completed such regarding the underlying customers that beneficially own any investment we make directly or indirectly through [Nominee];
- We confirm that the underlying customers who beneficially own the investments we make either directly or indirectly through [Nominee]; are a) not politically exposed, and b) not domiciled in a country that the European Union regards as high risk¹⁶. We will specifically notify you if an investment we make is beneficially owned by a politically exposed person or who is domiciled in a country that the European Union regards as high risk.
- To the extent that our underlying customer or its beneficial owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate of a regulated entity. We will not accept investments from or on behalf of shell banks;
- We have confirmed and verified that none of our underlying customers, the persons controlling our underlying customers, persons having a beneficial interest in our underlying customers, or persons for whom our underlying customer is acting as nominee, is: named on a list of prohibited countries, territories, entities and individuals maintained by and updated by the OFAC (Office of Foreign

¹⁶ https://ec.europa.eu/info/policies/justice-and-fundamental-rights/criminal-justice/anti-money-laundering-and-counter-terrorist-financing/eu-policy-high-risk-third-countries_en

Assets Control) or EU (composite list of persons and organisations against whom sanctions have been imposed);

- We retain and maintain documentary evidence of the identity of our underlying customers and, where applicable, their beneficial owners, for a period of at least five years from the cessation of our relationship with our underlying customer;
- We agree to furnish you with identification of our underlying customers and the documentary evidence retained by us concerning the underlying customers and, where applicable, their beneficial owners immediately upon request.

If there are questions or requests arising in future from these confirmations, please use the following contact details: _____

Sincerely,

FULL NAME AND POSITION

On behalf of [Regulated Institution] _____