



# **Application Form**

**Corporate and Institutional investors**



## How to use this Application Form

To open your register account with CACEIS, please provide the Account opening form (Part 1) and the Fund introduction form (Part 2).

For any new subscription (i.e. if you already have a register account opened with CACEIS), please provide only the Fund introduction form (Part 2).

### Part 1: Account opening form

In order to open your register account with CACEIS, please fill in:

- Identification details
- Bank details
- Dividend policy
- Tax details
- Reporting details
- Third-party and beneficial owner details
- Source of funds invested
- Mandatory documentation
- Representation
- Representation letter
- Terms and conditions

### Part 2: Fund introduction form

In order to invest into a fund for the first time, please fill in:

- Account Holder identification
- Fund identification
- KIID declaration
- PRIIPs declaration
- General Data Protection Regulation (697/2016/EU) (the “GDPR”) declaration
- Professional secrecy declaration (optional)
- SIF, RAIF or SICAR declaration

### Part 3: GDPR Data Privacy Notice

## Part 1: Account opening form

Please send the original documents to **CACEIS Bank Luxembourg Branch ("CACEIS")**, Fund Distribution Department at 5, allée Scheffer L-2520 Luxembourg and the electronic copies by email to [FDS-investor-services@caceis.com](mailto:FDS-investor-services@caceis.com)

**IMPORTANT:** Please ensure to complete all fields that are marked with an asterisk (\* mandatory field) and fill in the form in BLOCK CAPITALS.

### Identification details

<input type="checkbox"/> Bank	<input type="checkbox"/> Nominee	<input type="checkbox"/> Corporate	<input type="checkbox"/> Pension Fund	<input type="checkbox"/> Investment/Mutual Fund
<input type="checkbox"/> Other Financial Institution	<input type="checkbox"/> Foundation/Association	<input type="checkbox"/> Government entity	<input type="checkbox"/> Trust	<input type="checkbox"/> Partnership
<input type="checkbox"/> Insurance Company	<input type="checkbox"/> Fiduciary	<input type="checkbox"/> Other (please specify):		

Entity name\*

Legal form\*

Place of listing\* (if applicable)

Company object\*

Registered office address

Street/No. \* (P.O. Boxes are not permitted)

City\*

Postal code\*

Country\*

Telephone number

Email\*

Fax

Correspondence address, if different from the registered office

Street/No. (P.O. Boxes are not permitted)

City

Post code

Country

Contact person

First and last name (and/or department name)

Telephone number

Email\*

Fax

Authorized signatories' identification

Last name*	First name*
1 <sup>st</sup>	
2 <sup>nd</sup>	

1 <sup>st</sup>	Birth date*	Birth country*
2 <sup>nd</sup>		

Passport / ID card No.* (Please indicate the document type)	
1 <sup>st</sup>	<input type="checkbox"/> ID card / <input type="checkbox"/> Passport
2 <sup>nd</sup>	<input type="checkbox"/> ID card / <input type="checkbox"/> Passport
Nr. :	
Nr. :	

1 <sup>st</sup>	Capacity of the signatory* (e.g. Director, Head of,...)
2 <sup>nd</sup>	

Residential address of each signatory\* (Street, Nr., Postal code, City, Country)

1<sup>st</sup>

2<sup>nd</sup>

## **Bank details**

Please complete the bank details and ensure the bank account is in the name of the Investor, as we are not allowed to process third party payments. Redemption proceeds and dividends will be paid to the account below for any currency. CACEIS will be unable to open your account if standard payment instructions are not provided.

### **Bank account 1 (\* mandatory)**

Bank name\*

Swift/BIC (Bank Identification Code) \*

Bank address\*

Account holder(s)\*

Please complete at least one of the following settlement currency \*:

**EUR payment**

Account number/IBAN: .....

**USD payment**

Account number/IBAN: .....

**GBP payment**

Account number/IBAN: .....

**Select either:**

JPY

CHF

HKD

Account number/IBAN: .....

### **Bank account 2 (optional)**

Bank name\*

Swift/BIC (Bank Identification Code) \*

Bank address\*

Account holder(s)\*

Please complete at least one of the following settlement currency \*:

**EUR payment**

Account number/IBAN: .....

**USD payment**

Account number/IBAN: .....

**GBP payment**

Account number/IBAN: .....

**Select either:**

JPY

CHF

HKD

Account number/IBAN: .....

### **Note:**

- In case the bank details change, you must notify such a change prior to any instruction relating to a redemption and/or dividend payments. Otherwise, such payments will be transferred to the former bank details.
- The bank account details inserted must be opened in the customers' name. We cannot accept or execute third party payments (payments to another party other than the Investor(s) are not permitted).
- Please insert only one bank account per currency.
- For additional payment instructions, please provide banking details on a separate sheet of paper.

## **Dividend policy**

Please tick the box if you wish to have dividends reinvested, otherwise dividends will be automatically paid out to your bank account.

## **Tax details**

The Tax Regulations<sup>1</sup> currently in force require the collection (via a specific self-certification form) of additional information from the Investor, such as the tax residency, the tax classifications and the citizenship status. As an Account Holder, you are legally required to complete and provide this tax form upon the account opening.

For any questions regarding the Tax Regulations, please contact your tax adviser or the competent tax authorities.

Please fill in all the appropriate sections below and if there is a change in circumstances, we invite you to provide an updated self-certification form including such change. You declare that the information provided is to the best of your knowledge and belief, accurate and complete.

### **Foreign Account Tax Compliance Act (FATCA)\***

For further information on this regulation (e.g. definitions), please refer to the official website:

<https://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>

If the entity is a Reporting Foreign Financial Institution incorporated in a country having signed an Intergovernmental Agreement ("IGA") with the United States of America and is registered on the U.S. Internal Revenue Service (IRS) website, please provide the corresponding global intermediary identification number (**GIIN code**) \*:

**\* Otherwise, please provide a:**

1. **W9 Form:** (<http://www.irs.gov/pub/irs-pdf/fw9.pdf>) if the entity has its registered office in the U.S. or is incorporated in the U.S.  
or
2. **W8 BEN-E Form:** (<http://www.irs.gov/pub/irs-pdf/fw8bene.pdf>) if the entity does not have its registered office in the U.S. and is not incorporated in the U.S..

Specific FATCA provisions may be found in the fund's prospectus.

### **Automatic Exchange of Information for the Common Reporting Standard (AEOI-CRS) under the Organisation for Economic Co-operation and Development (OECD)\***

For further information on this regulation (e.g. the definitions), please refer to the official website: <http://www.oecd.org/tax/automatic-exchange/>

Tax residency and other information below is required for AEOI-CRS purposes. Please indicate the country in which your entity or organisation is a resident for tax purposes as well as the associated Tax Identification Number (TIN).

**Country of residence for tax purposes \*:**

**Tax Identification Number \*:**

If the TIN is unavailable, please explain the **reason** \*: .....

*If the entity has additional tax residence country(ies), please provide:*

- *such additional tax residence country(ies) and TIN(s) on a separate sheet (duly signed, dated with the last and first names of the authorized signatory); and*
- *documentary evidence (e.g. certificate of residence, tax income document) for each additional country in which the entity is resident for tax purposes.*

**Country of incorporation or organization \*:**

<sup>1</sup> The term "Tax regulations" refers to regulations created to enable Automatic Exchange Of Information (AEOI). It is not limited but includes the Foreign Account Tax Compliance Act (FATCA) contained in the US Hire Act 2010 and the Common Reporting Standard (CRS) approved by the Organisation for Economic Co-operation and Development (OECD) Council on 15 July 2014 for automatic exchange of financial account information.

#### AEOI-CRS status \*:

Please tick the box corresponding to the AEOI-CRS status of the entity.

- (a) Financial Institution – Professionally managed investment entity
- (b) Financial Institution – Other
- (c) Active NFE – Corporation that is publicly traded or an affiliate of a publicly traded corporation
- (d) Active NFE – Government entity
- (e) Active NFE – Category of entity other than those listed in (c) to (d)
- (f) Passive NFE

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### AEOI-CRS Controlling Persons Identification

This section is only required for:

- Passive NFE; or
- Professionally-managed investment entity whose permanent residence is in a country that has not entered into an AEOI agreement (i.e. a Competent Authority Agreement).

Please tick the box corresponding to the type of Controlling Person:

- Directly or indirectly owning  % (percent) of the entity's shares, units or voting rights
- Or, where no person owns such an interest, excising effective control over the entity
- Or, where there is no effective control, holding the position of a senior managing official

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

#### AEOI-CRS Identification of the Controlling Person No.1:

Title

Date of birth\*

First or given names\*

City or town of birth\*

Last or family name\*

Country of birth\*

#### Permanent residence address of the Controlling Person No.1:

Line 1 (e.g. number and street)\*

Line 2 (e.g. postal code and town)\*

City\*

Country\*

#### AEOI-CRS Tax residence(s) and tax identification number(s) of the Controlling Person No.1:

Country of residence for tax purposes\*

Tax Identification Number\*

If the TIN is unavailable, please explain the reason \*: .....

- If the entity has additional tax residence country(ies), please provide:
  - such additional tax residence country(ies) and TIN(s) on a separate sheet (duly signed, dated with the last and first names of the authorised signatory); and
  - documentary evidence (e.g. certificate of residence, tax income document) for each additional country in which the entity is resident for tax purposes.
- If there is more than one Controlling Person (e.g. Controlling Person No.2, No.3...), please provide the printed identification information of such additional Controlling Persons in a separate sheet with all the above "AEOI-CRS Controlling Persons Identification" (duly signed, dated with the last and first names of the authorised signatories).

#### Note:

- Account opening and subscriptions into the fund(s) are not authorised if you do not provide the above mentioned FATCA documentation (GIIN code or W8 form or W9 form) and the AEOI-CRS tax information.
- By signing this document you acknowledge that the information contained in this account opening form (and especially in this tax form and all other required tax information such as the account balance, the amount of revenue and sale proceeds paid or credited to the Financial Account) may be reported to the competent tax authorities, if required.

## Reporting details

As Account Holder, you will be entitled to receive the following documents:

- a) Contract notes (upon transaction);
- b) Dividend notification (upon transaction);
- c) Acknowledge notification (upon transaction);
- d) Statement of your holdings (monthly);
- e) MT 535 (i.e. SWIFT message if applicable, select your frequency:  daily or  monthly).

**Please select the media (for the receipt of such documents) \*:**

<b>Contact person no.1</b>  First name: <input type="text"/> same as mentioned in the identification details Last name: <input type="text"/> same as mentioned in the identification details Department: <input type="text"/> same as mentioned in the identification details <input type="checkbox"/> E-mail: <input type="text"/> same as mentioned in the identification details OR <input type="checkbox"/> Fax: <input type="text"/>  Document: Contact person no.1 will receive all the documents	<b>Contact person no.2</b>  First name: <input type="text"/> Last name: <input type="text"/> Department: <input type="text"/> <input type="checkbox"/> E-mail: <input type="text"/> OR <input type="checkbox"/> Fax: <input type="text"/>  Select the documents: <input type="checkbox"/> a) <input type="checkbox"/> b) <input type="checkbox"/> c) <input type="checkbox"/> d) <input type="checkbox"/> e)
<b>Contact person no.3</b>  First name: <input type="text"/> Last name: <input type="text"/> Department: <input type="text"/> <input type="checkbox"/> E-mail: <input type="text"/> OR <input type="checkbox"/> Fax: <input type="text"/>  Select the documents: <input type="checkbox"/> a) <input type="checkbox"/> b) <input type="checkbox"/> c) <input type="checkbox"/> d) <input type="checkbox"/> e)	<b>Contact person no.4</b>  First name: <input type="text"/> Last name: <input type="text"/> Department: <input type="text"/> <input type="checkbox"/> E-mail: <input type="text"/> OR <input type="checkbox"/> Fax: <input type="text"/>  Select the documents: <input type="checkbox"/> a) <input type="checkbox"/> b) <input type="checkbox"/> c) <input type="checkbox"/> d) <input type="checkbox"/> e)
<b>Contact person no.5</b>  First name: <input type="text"/> Last name: <input type="text"/> Department: <input type="text"/> <input type="checkbox"/> E-mail: <input type="text"/> OR <input type="checkbox"/> Fax: <input type="text"/>  Select the documents: <input type="checkbox"/> a) <input type="checkbox"/> b) <input type="checkbox"/> c) <input type="checkbox"/> d) <input type="checkbox"/> e)	<b>Contact person no.6</b>  First name: <input type="text"/> Last name: <input type="text"/> Department: <input type="text"/> <input type="checkbox"/> E-mail: <input type="text"/> OR <input type="checkbox"/> Fax: <input type="text"/>  For receipt of documents: <input type="checkbox"/> a) <input type="checkbox"/> b) <input type="checkbox"/> c) <input type="checkbox"/> d) <input type="checkbox"/> e)

**Select one preferred reporting currency \*:**

USD  EUR  GBP  JPY  CHF  HKD

**Select one preferred language \*:**

English  Mandarin Chinese  Spanish  French  German  Italian

**Note:**

By signing this document you accept that the information referred above shall be provided to you a standard unsecured e-mail and that CACEIS may not be held responsible for any potential interception of this information for harmful or fraudulent use.

## **Third-party and beneficial owner details**

**Please confirm if the account holder is acting :**

- on behalf of third party(ies); or
- on its own behalf and not in favour of a third party.

According to the Luxembourg law dated 25/03/2020 implementing Directive EU 2018/843 an ultimate beneficial owner is the final beneficiary of the investment who owns – directly or indirectly – more than 25% of the investor share capital/voting rights.

The identification details and documentation of the account holder and of the underlying beneficial owner(s) must be provided :

- If the account holder is acting on its own behalf and is a legal entity having one or several natural person(s) holding directly or indirectly 25% or more of the capital/voting rights or having the control over the investor ;

or if

- the account holder is acting on behalf of third parties and is not regulated or is regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is not considered as adequate and effective according to CACEIS country risk assessment ;

or

- upon request, if the account holder is a Nominee regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is considered as adequate and effective according to CACEIS country risk assessment ;

In this case, an AML letter or Representation letter (please consider the template in the following section) confirming the performance of KYC due diligence on underlying investors and/or the beneficial owners will be requested and updated pursuant to on-going due diligence requirements;

### **Identification of beneficial owners:**

The identification details and verification of the identity of the underlying beneficial owner(s) must be provided through a beneficial owner declaration (please refer to our template in appendix) and corroborated by supportive documentation from independent and reliable sources.

**Important:** *In case of indirect ownership, please describe on a dated and signed chart all the intermediate levels of ownership with names and percentages.*

If any of the ultimate economic beneficiary(ies) is/are one of the category displayed below, please provide a detailed description :

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected	<i>If applicable, please describe:</i>
<input type="checkbox"/> a person exercising a public function, including for a public agency or public enterprise	
<input type="checkbox"/> an official or agent of a public international organisation	
<input type="checkbox"/> a person or company manifestly close to or connected with the above persons	

## **Source of funds invested**

### **For account holder acting on its own behalf:**

I/we declare that the origin of the funds used for subscription is coming from: (please tick the right choice):

- Treasury investment
- Other (please describe):

Main country of origin of the funds invested: \_\_\_\_\_

**For account holder acting on behalf of third party(ies):**

I/we declare that the origin of the funds used for subscription is coming from: (please tick the right choice)

- Retail Customers
- Institutional Customers
- Other (please describe):

Main country of origin of underlying clients base invested: \_\_\_\_\_

Are you, directly or indirectly, engaged, or plan to engage, business activities\* by any manner in countries, regions against which UN, OFAC, OFSI, EU have enacted comprehensive jurisdiction-based sanctions ?

\* business activities include but not limited to entity's income, assets, operations, or investment or any physical presence

- No
- Yes, If so please detail :

Has your Institution been subject to any regulatory disciplinary action that has been made public or material litigation over the past 5 years?

- No
- Yes, If so please describe the corrective measures implemented :

Has your entity currently, or have recently been, subject to any audits by an independent auditor/ authority? Were there any significant findings?

- No
- Yes, If so please describe the findings ?

Do you use sub-distributors in relation with your targeted investment into the funds mentioned on part 2 of this application form ?

- No
- Yes

If so, do you perform appropriate AML/CFT due diligences on those sub-distributors prior into entry into business relationship and during the whole business relationship:

With which typology of clients does the entity prohibit entering directly/indirectly in a business relationship/accounts opening ?

How often are your clients information and risk rating updated ( frequency of review as per the risk level) ?

For low risk clients: 1 year  2 year  3 year  4 year  5 year  if other, please specify :

For medium risk clients: 1 year  2 year  3 year  4 year  5 year  if other, please specify :

For high risk clients: 1 year  2 year  3 year  4 year  5 year  if other, please specify :

Do you review your client's current activity against the declaration stated during the onboarding ?

- No
- Yes

In case of new investment, do you review/update your client's source of wealth with regards to the documents assessed during the onboarding ?

- No
- Yes, If so please specify which documents are used for this assessment :

Have your clients been subject to any regulatory disciplinary action that has been made public or material litigation over the past 5 years and/or have been sanctioned by authorities or are located in countries subject to comprehensive jurisdiction-based sanctions?

No  
 Yes, If so please detail :

## **Mandatory documentation**

For compliance purposes, the account holder is required to provide CACEIS with KYC documentation as described in the section "Terms and Conditions" below.

## **Representation**

I/We declare that:

- the Account Opening form has been read and filled in accordingly.
- I am/We are aware that the Transfer Agent and Prime Transfer Agent assume no liability for failure to process an order as a result of incomplete or inaccurate information presented by the subscriber in this Application Form.
- I/we will inform the Transfer Agent of any change in the information provided in this Application Form.
- I/we accept the Terms and Conditions and I/We have read and understood such terms and conditions.
- I am/we are duly authorised to sign this Account Opening form.
- I/we authorise CACEIS Bank, Luxembourg Branch to share my/our and the entity's personal and financial information with any entity in the CACEIS group.
- the invested funds are not derived from illegal activities as described under the recommendations issued by the Financial Action Task Force on Money Laundering (FATF) and that invested funds are declared to the local fiscal authorities.
- I/we am/are aware of the tax obligations relating to the holding of shares / units in the fund in which I/we hereby invest in, towards the competent tax authorities.
- I/we understand and acknowledge that I/we am/are aware of my/our responsibility to comply with all tax obligations. It is therefore the Investor's responsibility to seek any assistance from qualified independent advisors as necessary.

As authorised signatory(ies) I/we hereby sign this Account Opening form (please provide the certified copy of the power of attorney or the list of authorised signatories of the company).

### 1st signatory\*

Date	Place	Signature
First name	Last name	

### 2<sup>nd</sup> signatory\* (if a second signatory)

Date	Place	Signature
First name	Last name	

## **Representation Letter**

**MANDATORY** for companies acting on behalf of third parties or acting as nominee agent residing in one of the Financial Action Task Force countries (FATF see <http://www.fatf-gafi.org/countries/>). [You may complete the letter herebelow or print it with your letterhead]

Dear Sir/Madam,

We shall, from time to time, purchase, redeem and hold, units / shares of investment funds (the "Funds") for which you act as Registrar and Transfer Agent. We hereby represent to you that :

We are aware of the provisions of the prospectus of the relevant Fund, we shall not allow the purchase or holding of units or shares of the Fund by persons not authorised to purchase or hold them according to the provisions of the prospectus.

1. We are located in a country that has legislation or regulations in place for the prevention of money laundering and the fight against terrorism in line with :
  - the recommendations of the Financial Action Task Force (FATF member country);
  - the E.U. Directive 2018/843 dated 30 May 2018;
  - .....(please insert reference of any other applicable regulation).

In this regard, we confirm that :

2. We have implemented a compliance function, responsible for the elaboration of an AML/CTF program. This program – validated by Senior Management – and its implementation are verified by the external auditor on a regular basis and the results thereof are reported to our regulator. In addition, our procedures and practices are audited regularly by an independent internal audit function or an independent third party. In compliance with such rules, our entity has elaborated, and continuously adapts and improves, its respective procedures and policies;
3. We perform KYC due diligence aiming at identifying and verifying the identity of our clients, both regular and occasional, including investors into funds for which we act as intermediary, and when our clients are not acting on their own behalf, of their ultimate beneficial owners and authorized representatives.
4. We confirm that, if one of the investors introduced by us is a politically exposed person, as defined in the 5th AML Directive EU 2018/843 we have used all reasonable efforts to verify that the source of amounts invested in the Fund are not the proceeds of corruption or other illegal activity and we have performed an enhanced due diligence on the business relationship;
5. Our procedures and practices also aim at preventing, detecting and reporting suspected money laundering or terrorism financing activities to the competent Financial Intelligence Unit (FIU). In the context of prevention of the financing of terrorism and complying with embargoes and restrictive measures published by the European Community and/or the US Office for Foreign Assets Control, we monitor investors introduced by us and their respective underlying beneficiaries;

6. We will inform CACEIS, without delay, if we have identified any natural person who could be beneficial owner ("UBO"), as required and defined in the regulation listed below and notably if we have any natural person who ultimately owns or controls directly or indirectly 25% plus one share of the shareholding or the voting rights of the funds invested through our financial intermediary positions in each fund for which CACEIS acts as registrar and transfer agent.

We will provide CACEIS with its name, first name, date of birth, country of residence.

According to the regulation money laundering and terrorist financing (the "Law"), the beneficial owner is defined as any natural person(s) who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted.

The contact details of CACEIS for this topic is: [declaration-ubo-position@caceis.com](mailto:declaration-ubo-position@caceis.com)

In the absence of any e-mail from our part to the above address, CACEIS will assume and record that we have not identified any UBO, as defined by the Law, present in the funds invested through our financial intermediary positions. We shall be deemed to have accepted and consented to such interpretation and we comply with the Law.

In the course of your due diligence notably in the context of transactions monitoring, we agree to provide you with any information needed relating to the underlying investor and its beneficial owners.

7. We will inform you immediately once we become aware of any introduced investor/ underlying investor (Natural person and/or Legal entity) being engaged in activities which lead us to believe that such investor/ underlying investor is involved in money laundering or terrorist activities and/or under sanction as defined below.

The Minimum Sanctions List includes the International Sanctions lists issued by the United Nations Security Council, the European Union, the French Treasury, OFAC and the U.S. Department of State and may be extended to any other applicable list on a case-by-case basis.

The contact details of CACEIS for this topic is: [securite-financiere@caceis.com](mailto:securite-financiere@caceis.com)

In the absence of any e-mail from our part to the above address, CACEIS will assume and record that we have not identified any investor/ underlying investor involved in money laundering or terrorist activities and/or under sanction, as defined by the Law, present in the funds invested through our financial intermediary positions. We shall be deemed to have accepted and consented to such interpretation and we comply with the Law.

8. We shall not search for investors, solicit investors, nor offer or sell any of the Funds, unless we may do so in compliance with the laws and regulations applicable in our country;

9. We will retain documentary evidence of the identity of the introduced investor(s) for a period of five years following the end of the business relationship with our customer or after the date of an occasional transaction. The supporting evidence and records of transactions, consisting of the original documents or copies admissible in judicial proceedings under the applicable national law, which are necessary to identify transactions, for a period of five years following the end of a business relationship with their customer or following the date of an occasional transaction.
10. We shall not search for investors, solicit investors, nor offer or sell any of the Funds, unless we may do so in compliance with the laws and regulations applicable in our country;
11. We provide our employees on a regular basis with appropriate training on AML/CTF prevention measures and we ensure that all officers, employees and agents used by us strictly comply with all related procedures and controls in place.
12. We will inform CACEIS of any change in the information provided.

The above representations shall be deemed reiterated at each time an order is placed with you and shall continue throughout the period you act as registrar and transfer agent to the Fund.

\*For and on behalf of : .....[Legal name of Company]

1st signatory\*

Date	Place	Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>
First name	Last name	
<input type="text"/>	<input type="text"/>	

2<sup>nd</sup> signatory\* (if a second signatory)

Date	Place	Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>
First name	Last name	
<input type="text"/>	<input type="text"/>	

## **Terms and conditions**

### **Mandatory documentation**

As required in the prospectus of the Fund(s) and according to local applicable laws, particularly relating to the prevention of money laundering, the Application Form must be accompanied by documents that will allow CACEIS (acting in its capacity of registrar and transfer agent and Prime transfer agent) to identify the account holder and, if applicable, all underlying beneficial owners of the investment to the extent permitted by laws.

Subsequent subscriptions of shares/units within the Fund(s) shall not require again the investor to provide CACEIS with the identification documents to the extent that the investor's situation has remained unchanged since the previous subscriptions.

Notwithstanding the foregoing, the account holder may be requested to provide additional or updated identification documents from time to time pursuant to on-going due diligence requirements under relevant laws and regulations.

In case of delay or failure by the account holder to provide the required documents, the application for shares or units subscription may not be accepted and in case of a shares or units redemption request, the payment of the redemption proceeds and/or dividends may not be processed. Neither the Fund(s) nor CACEIS shall have any liability for delays or failure to process orders into the Fund(s) as a result of the account holder providing incomplete documentation.

### **Investment Information**

This Application Form is subject to the provisions set out in the Fund's prospectus.

Orders received after the cut-off time specified in the prospectus will be processed on the following NAV calculation date, subject to the provisions of the CSSF (Commission de Surveillance du Secteur Financier) circular 04/146 or any amendments thereto.

For the French domiciled funds, the cut-off time is one hour less than the official fund cut-off time for orders received by fax and 30 minutes less for orders received by swift.

Incomplete or illegible orders will be accepted only after such orders have been received with complete and legible information by the Transfer Agent and Prime Transfer Agent. No money will be transferred to the Fund unless the order is accepted.

### **Data protection**

The Fund(s), where applicable, the Management Company, and its suppliers or other third parties, including the Transfer Agent may process information, including personal data, about the Investor, and for corporate and institutional Investors their respective directors, officers and employees as well as of the Intermediary and its affiliates and agents which may constitute personal data under the EU Data Protection Directive and locally implementing laws uncovered by the EU Data Protection Directive.

The Fund(s) and, where applicable, the Management Company/AIFM are committed to protecting the personal data of the investors (including its representatives, directors or employees) and of the other individuals whose personal information come into their possession in the context of the investor's investments in the Fund and to ensure that their service providers comply with similar obligations.

The Fund, and, where applicable, the Management Company/AIFM have taken all necessary steps, to ensure compliance with the EU Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC and with any implementing legislation applicable to them (together, the "Data Protection Law") in respect of personal data processed by it/them in connection with investments made into the Fund.

Personal data shall have the meaning given in the Data Protection Law and includes any information relating to an identifiable individual, such as the investor's name, address, invested amount, the investor's individual representatives' names as well as the name of the ultimate beneficial owner, where applicable, and such investor's bank account details (the "Personal Data").

The processing includes (non-exclusively) actions required in relation to: information about processing of your Personal Data and, as the case may be, consent mechanisms; procedures for responding to requests to exercise individual rights; contractual arrangements with suppliers and other third parties; security measures; arrangements for overseas data transfers and record keeping and reporting policies and procedures.

When subscribing to the Fund, each investor is informed of the processing of his/her personal data (or, when the investor is a legal person, of the processing of such investor's individual representatives and/or ultimate beneficial owners' personal data) via the data protection notice which will be made available to the investors in Part 3 of this application form (the "Data Protection Notice").

This Data Protection Notice will inform the investors about the processing activities undertaken by the Fund, the Management Company and their delegates, including the Transfer Agent, in more details.

### **Recording of telephone conversations**

Whoever the party initiating the call, the Investor accepts that CACEIS may record on magnetic tape or on any other medium all or part of any telephone conversations with the Investor or a proxy-holder thereof. The Investor acknowledges that such recordings shall be validly binding upon it and on any third party, even if it was not specifically made aware to the Investor or its representatives that the conversation was being recorded. Recordings will be kept for a maximum period of 5 (five) years and may be produced in court. They shall have the same evidential value as written original documents. The recordings shall be used in strict compliance with any applicable banking secrecy and individual privacy laws.

### **Prevention of Money Laundering and fight of terrorist financing**

All Applicants understand that due to the changing nature of laws and regulations and the possible extensions of applicable rules, the Registrar may update and amend its procedures as might be required from time to time to comply with such amendments.

In compliance with applicable anti-money laundering laws and regulations, the Registrar may require further information to carry out the required identification of the Applicants or an existing investor before the application can be processed or the redemption proceeds paid out; and the documentation to be renewed in accordance with applicable regulation and market practice.

## **General definitions**

“Beneficial Owner” As per the 5th AML directive (EU 2018/843) of 30 May 2018 , beneficial owner means any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership. This applies without prejudice to the right of Member States to decide that a lower percentage may be an indication of ownership or control. Control through other means may be determined, *inter alia*, in accordance with the criteria in Article 22(1) to (5) of Directive 2013/34/EU of the European Parliament and of the Council (3);

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) In the case of trusts:

(i) the settlor;  
(ii) the trustee(s);  
(iii) the protector, if any;

(iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (v) any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means;

(c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in point (b).

“Constitutive Documents” means the Articles of Incorporation or Management Regulations, as the case may be, of a Fund as amended from time to time.

“FATF” means the Financial Action Task Force.

“Fund” or “Funds” means the collective investment schemes listed in the Application Form.

“Institutional Investor” means any Investor that is not a natural person and for which the business purpose requires the management of substantial assets. The main characteristic of any institutional investor is that its business purpose requires the management of substantial assets. An institutional investor may be an Insurance company, social security institution, credit institution, UCI (Undertaking Collective Investment), local authority, unregulated investment company (e.g. holding company) under certain conditions, commercial company with substantial assets under management, pension fund or other professionals of the financial sector. Credit institutions and other professionals of the financial sector investing in institutional funds in their own name but on behalf of another party on the basis of a discretionary management relationship are also considered as institutional investors, even if the third party on behalf of which the investment is undertaken is not itself an institutional investor.

“Investor” means the entity or organisation subscribing for Shares including, where applicable, an Intermediary who is authorised to subscribe to Shares on behalf of its clients.

“Intermediary” means the entity or person advising and dealing on behalf of the Investor.

“Fund” means an investment fund vehicle.

“Prospectus” means the current prospectus issued by or in respect of each Fund, whether supplemented or periodically amended.

“Shares” means shares or units of a Fund.

“Terms and Conditions” means these terms and conditions that form part of the Application Form, whether supplemented or periodically amended.

## Part 2: Fund introduction form

Please send the original documents to **CACEIS Bank, Luxembourg Branch<sup>2</sup>, Fund Distribution Department at 5, allée Scheffer L-2520 Luxembourg** and the electronic copies by email to [FDS-investor-services@caceis.com](mailto:FDS-investor-services@caceis.com)

**IMPORTANT:** Please be ensure to complete all fields that are marked with an asterisk (\* mandatory field) and fill in the form in BLOCK CAPITALS.

You do not need to fill in this *Fund Introduction form*, if you want to invest into a fund in which you already hold positions.

### Account holder identification

If your account is already opened, please provide your register account number at CACEIS

If your account is not yet opened, CACEIS will provide your attributed register account number once it is opened.

### Fund identification

Fund legal name (one fund name only - No ISIN)

I/We want to invest into the following Fund: \*

I/We agree to inform immediately Caceis Bank, Luxembourg Branch at the following email address : [declaration-ubo-position@caceis.com](mailto:declaration-ubo-position@caceis.com) should there be, at any point in time, any natural person(s) owning 25% or more of our investment into the aforementioned fund.

### KIID Declaration

ONLY NECESSARY FOR a subscription in a UCITS fund, where applicable

The Key Investor Information Document (KIID) of the Fund relating to each share class is be available on the website of the Fund or of its Management Company (according to the EU Directive 2009/65/EC on undertaking for collective investments, as amended and relating implementing acts) (collectively referred to as the "UCITS Regulation"). The Fund or its Management Company will ensure, in accordance with the UCITS Regulations, that such website is constantly updated or otherwise, will provide with alternative solutions to access the KIID.

By ticking this box, I/We declare to have read the relevant KIID of the Fund relating to the relevant share class and I/We agree that any new subscription order made shall be considered as a written confirmation that I/We have taken knowledge of the relevant up-to-date relevant KIID as published on the website referred above on the date on which the subscription order is completed.

Final investors investing in the Fund for their own account.

The subscriber hereby acknowledges and agrees that any subscription/switch order made by the subscriber shall be considered as a written confirmation from the subscriber that the investor/underlying beneficial owner ("BO") has taken knowledge of the up-to-date relevant KIID as published on the above mentioned website on the date such subscription/order was made.

Financial intermediaries investing in the Fund for the account of investors, or advising investors to invest in the Fund.

The financial intermediaries hereby confirm that they have provided the underlying beneficial owners ("BO") or potential investors with the relevant up-to-date KIID for any subscription/order made and take full responsibility for any concerns regarding the notification of the KIID to the investors/BO. We provide Caceis with all the KYC documentation upon request by the extent permitted by laws, and we will inform Caceis immediately if we become aware of any introduced investor engaging in activities which lead us to believe that such investor is involved in money laundering or terrorist activities .

<sup>2</sup>CACEIS Bank, Luxembourg Branch acting in its capacity of Transfer Agent and Prime Transfer Agent of the funds, specialising in the execution of subscription and redemption orders for fund shares /units and in the maintenance of the share/unitholder register as well as distribution support.

## **PRIIPS Declaration**

This section should be completed if you invest in a fund required to publish a PRIIPS.

The Key Information Document (KID) of the Fund relating to each share class is provided in a durable medium other than paper or by means of a website of the Fund or of its Management Company or AIFM (according to the Regulation (EU) n° 1286/2014 of European Parliament and of the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs), the Regulation (EU) 2016/2340 of the European Parliament and of the Council of 14 December 2016 amending Regulation (EU) n° 1286/2014 on key information documents for packaged retail and insurance-based investment products and the Commission Delegated Regulation (EU) 2017/653 of 8 March 2017 Supplementing Regulation (EU) n° 1286/2014 of European Parliament and of the Council on key information documents for packaged retail and insurance-based investment products (PRIIPs) by laying down regulatory technical standards with regard to the presentation, content, review and revision of key information documents and the conditions for fulfilling the requirement to provide such documents) (collectively referred to as the "PRIIPS Regulation"). The Fund, or its Management Company, or its AIFM, will ensure, in accordance with the PRIIPS Regulations, that such website is constantly updated or otherwise, will provide with alternative solutions to have access to the KID.

By checking this box, I/We declare to I/We have been given the choice between KID provided on paper, in a durable medium and by means of a website and I/We give my/our **consent to receive the relevant KID in a durable medium other than paper or by means of a website and I/We agree that my/our e-mail address will be recorded for the KID purpose.**

\* By checking this box, I/We declare to have received and have the opportunity to read the relevant KID of the Fund relating to the relevant share class prior to my/our investment and before reviewing and signing this application and I/We agree that for any new subscription order I/We will receive a subsequent order form to be completed and signed and that I/We will ensure that I/We will obtain the KID relating to any new subscription.

## **GDPR Declaration**

We acknowledge that the Fund, and where applicable the Management Company/AIFM and where applicable their service providers (including the Transfer Agent) will hold and process our personal data in accordance with the applicable data protection regulations. Further information is available in section "Terms and Conditions" of this Application Form as well as on the Data Protection Notice attached to this Application Form.

By checking this box, we confirm that we have read and acknowledge the Data Protection Notice

## **Professional secrecy declaration**

We acknowledge that the Fund, and where applicable the Management Company/AIFM and where applicable their service providers (including the Transfer Agent) will hold and process our personal data in accordance with the applicable data protection regulations. Further information is available in section "Terms and Conditions" of this Application Form.

By checking this box, we confirm that I/we have read and acknowledge the section "Terms and Conditions" of this Application Form and I/we authorise the Fund, and where applicable the Management Company/AIFM, and where applicable their service providers (and in particular the Transfer Agent) to share my/our personal and financial information under the terms and conditions set hereunder in this Application Form.

## **Institutional investor declaration**

**\*ONLY IF you want to invest into *institutional share classes* of the Fund (i.e. restricted to institutional investors) or into a SIF (Specialised Investment Fund) or RAIF (Reserved Alternative Fund) or SICAR (Société Investment Company en Risk Capital):** you need to hereby confirm that you are regarded as institutional Investor<sup>3</sup> in the meaning of the Luxembourgish law of 13 February 2007. Please tick the corresponding institutional investor category\*:

<input type="checkbox"/> A credit institution	<input type="checkbox"/> Third parties through a credit institution or other PSF with which they are in discretionary
<input type="checkbox"/> Other Professionals of the Financial Sector (PSF)	<input type="checkbox"/> Management relationship
<input type="checkbox"/> An insurance or reinsurance company	<input type="checkbox"/> An undertaking for collective investment (UCI)
<input type="checkbox"/> A social security organisation	<input type="checkbox"/> A holding company or similar whose partners are institutional investors
<input type="checkbox"/> A pension Fund	<input type="checkbox"/> A local authority investing its own capital
<input type="checkbox"/> An industrial and financial group	<input type="checkbox"/> Other structures: <input type="text"/>

If you do not fall into any of the above categories, you should confirm the below either subscribing for your own account or for the account of an end investor.

<sup>3</sup> The main characteristic of any institutional investor is that its business purpose requires the management of substantial assets. An institutional investor may be an Insurance company, social security institution, credit institution, UCI (Undertaking Collective Investment), local authority, unregulated investment company (e.g. holding company) under certain conditions, commercial company with substantial assets under management, pension fund or other professionals of the financial sector. Credit institutions and other professionals of the financial sector investing in institutional funds in their own name but on behalf of another party on the basis of a discretionary management relationship are also considered institutional investors, even if the third party on behalf of which the investment is undertaken is not itself an institutional investor.

## **SIF, RAIFF or SICAR declaration**

Please complete this section if you want to invest into the following Luxembourg domiciled investment funds: a SIF (Specialised Investment Fund), a RAIFF (Reserved Alternative Investment Fund) or if you wish to invest into a SICAR (Société Investment Company in Risk Capital):

I am a well-informed investor, and

I will invest a minimum of EUR 125,000 into the SIF, RAIFF, SICAR or

I will provide CACEIS with an assessment certificate made by a credit institution, an investment firm or a management company certifying your expertise, your experience and your knowledge in adequately appraising an investment in a SIF, RAIFF or SICAR.

## **Third-party and beneficial owner details**

**Important:** *This section is not required if it was already completed in the Account Opening form and it remains unchanged for this fund introduction.*

**Please confirm if the account holder is acting :**

- on behalf of third party(ies); or
- on its own behalf and and not in favour of a third party.

According to the Luxembourg law dated 25/03/2020 implementing Directive EU 2018/843 an ultimate beneficial owner is the final beneficiary of the investment who owns – directly or indirectly – more than 25% of the investor share capital/voting rights.

The identification details and documentation of the underlying beneficial owner(s) must be provided :

- If the account holder is acting on its own behalf and is a legal entity having one or several natural person(s) holding directly or indirectly 25% or more of the capital/voting rights or having the control over the investor ;

or if

- the account holder is acting on behalf of third parties and is not regulated or is regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is not considered as adequate and effective according to CACEIS country risk assessment ;

or

- upon request, if the account holder is a Nominee regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is considered as adequate and effective according to CACEIS country risk assessment ;

In this case, an AML letter or Representation letter (please consider the template in the following section) confirming the performance of KYC due diligence on underlying investors and/or the beneficial owners will be requested and updated pursuant to on-going due diligence requirements;

### **Identification of beneficial owners:**

The identification details and verification of the identity of the underlying beneficial owner(s) must be provided through a beneficial owner declaration (please refer to our template in appendix) and corroborated by supportive documentation from independent and reliable sources.

**Important:** *In case of indirect ownership, please describe on a dated and signed chart all the intermediate levels of ownership with names and percentages.*

If any of the ultimate economic beneficiary(ies) is/are one of the category displayed below, please provide a detailed description :

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected	<i>If applicable, please describe:</i>
<input type="checkbox"/> a person exercising a public function, including for a public agency or public enterprise	
<input type="checkbox"/> an official or agent of a public international organisation	
<input type="checkbox"/> a person or company manifestly close to or connected with the above persons	

## **Source of funds invested**

### For account holder acting on its own behalf:

I/we declare that the origin of the funds used for subscription is coming from: (please tick the right choice):

Treasury investment  
 Other (please describe):

Main country of origin of the funds invested: \_\_\_\_\_

### For account holder acting on behalf of third party(ies):

I/we declare that the origin of the funds used for subscription is coming from: (please tick the right choice)

Retail Customers  
 Institutional Customers  
 Other (please describe):

Main country of origin of underlying clients base invested: \_\_\_\_\_

## **Expected investment amounts**

By transaction :	<input type="checkbox"/> Less than EUR 1 million (or equivalent)	<input type="checkbox"/> Between EUR 1-5 million (or equivalent)	<input type="checkbox"/> Between EUR 5-10 million (or equivalent)	<input type="checkbox"/> Over EUR 10 million or equivalent
Expected Total Investment :				

## **Mandatory documentation**

For compliance purposes, the account holder is required to provide CACEIS with KYC documentation as described in the section "Terms and Conditions" below.

## **Representation**

### **I/We declare that:**

- the Account Opening form has been read and filled in accordingly.
- I am/We are aware that the Transfer Agent and Prime Transfer Agent assume no liability for failure to process an order as a result of incomplete or inaccurate information presented by the subscriber in this Application Form.
- I/we will inform the Transfer Agent of any changes in the information provided in this Application Form.
- I/we accept the Terms and Conditions and I/We have read and understood such terms and conditions.
- I am/we are duly authorised to sign this Account Opening form.
- I/we authorise CACEIS Bank, Luxembourg Branch to share my/our and the entity's personal and financial information with any entity in the CACEIS group.
- the invested funds are not derived from illegal activities as described under the recommendations issued by the Financial Action Task Force on Money Laundering (FATF) and that invested funds are declared to the local fiscal authorities.
- I/we am/are aware of the tax obligations relating to the holding of shares / units in the fund in which I/we hereby invest in, towards the competent tax authorities.
- I/we understand and acknowledge that I/we am/are aware of my/our responsibility to comply with all tax obligations. It is therefore the Investor's responsibility to seek any assistance from qualified independent advisors as necessary.

**Note:** This Fund introduction form is not a subscription form.

1st signatory\*

Date	Place	Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>
First name	Last name	
<input type="text"/>	<input type="text"/>	

2<sup>nd</sup> signatory\* (if a second signatory)

Date	Place	Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>
First name	Last name	
<input type="text"/>	<input type="text"/>	