

**POLEN CAPITAL INVESTMENT FUNDS PLC (the “Company”)**  
**POLEN CAPITAL FOCUS U.S. GROWTH FUND**  
**POLEN CAPITAL INTERNATIONAL GROWTH FUND**  
**POLEN CAPITAL U.S. SMALL COMPANY GROWTH FUND**  
**POLEN CAPITAL GLOBAL EMERGING MARKETS GROWTH FUND**  
**POLEN CAPITAL GLOBAL SMID COMPANY GROWTH FUND**  
**POLEN CAPITAL EMERGING MARKETS EX CHINA GROWTH FUND**  
**POLEN CAPITAL CHINA GROWTH FUND**  
**(each a “Fund” and together the “Funds”)**

Attention: Shareholder Services Department  
RBC Investor Services Ireland Limited  
4<sup>th</sup> Floor, One George’s Quay Plaza  
George’s Quay  
Dublin 2  
Ireland

Telephone + 353 1 4406555  
Fax + 353 1 6130401

Completed application forms should be faxed (if possible) to +353 1 6130401 and the original document must always be delivered by mail/courier together with the appropriate client identification documentation as set out below.

**Payment of redemption proceeds will not be made until the Administrator has received the application form and all requested supporting anti-money laundering or related documentation.**

The Company will be required to withhold Irish tax on redemption proceeds, at the applicable rate, unless it has received a Declaration from the Shareholder in the prescribed form, confirming that the Shareholder is not an Irish Resident in respect of whom it is necessary to deduct tax.

*APPLICATION FOR SHARES*

I/We hereby irrevocably apply for:

<b>Polen Capital Focus U.S. Growth Fund</b>					
<b>Share Class Name</b>	<b>Distribution Policy</b>	<b>Minimum Initial Subscription</b>	<b>Sedol Code</b>	<b>ISIN Code</b>	<b>Cash Amount of Subscription</b> <b>(Euro/US\$/GBP/CHF)*</b> <b>*Delete as appropriate</b>
*CHF Class (Institutional)	Accumulating	CHF 250,000	B9C5QC9	IE00B9C5QC99	
*CHF Class (Retail)	Accumulating	CHF 1,000	B9C4BF4	IE00B9C4BF45	
*EUR Class (Institutional)	Accumulating	€250,000	B99L8M4	IE00B99L8M46	
*EUR Class (Retail)	Accumulating	€1,000	B99MMG9	IE00B99MMG94	
*GBP Class (Institutional)	Accumulating	£250,000	B7WMPB8	IE00B7WMPB80	
*GBP Class (Retail)	Accumulating	£1,000	B99KWY1	IE00B99KWY19	

US Dollar Class (Institutional)	Accumulating	\$250,000	B8DDPY0	IE00B8DDPY03	
US Dollar Class (Retail)	Accumulating	\$1,000	B99FTC3	IE00B99FTC33	
A Class (Retail)	Accumulating	\$1,000	BGKO4N2	IE00BGK04N24	
C Class (Retail)	Accumulating	\$1,000	BGK04P4	IE00BGK04P48	
GBP Class (Institutional Unhedged)	Accumulating	£250,000	BYYP0W0	IE00BYYP0W07	
GBP Class (Institutional Unhedged Distributing)	Distributing	£250,000	BD058W3	IE00BD058W30	
US Dollar D Class (Institutional Unhedged)	Accumulating	\$250,000,000	BDC40F5	IE00BDC40F56	
EUR Class (Institutional Unhedged)	Accumulating	€250,000	BF5FQ51	IE00BF5FQ519	
EUR Class (Retail Unhedged)	Accumulating	€1,000	BF5FQ62	IE00BF5FQ626	
EUR D Class (Institutional Unhedged)	Accumulating	€250,000,000	BG0RDG9	IE00BG0RDG93	
GBP D Class (Institutional Unhedged Distributing)	Distributing	£250,000,000	BG0RDH0	IE00BG0RDH01	
US Dollar E Class (Retail)	Accumulating	\$100,000	BG0RDJ2	IE00BG0RDJ25	
N Class (Retail)	Accumulating	\$1,000	BKX8JF86	IE00BKX8JF86	

Polen Capital International Growth Fund					
Share Class Name	Distribution Policy	Minimum Initial Subscription	Sedol Code	ISIN Code	Cash Amount of Subscription  (Euro/US\$/GBP/CHF)* <i>*Delete as appropriate</i>
US Dollar Class (Institutional)	Accumulating	\$250,000	BYWHD96	IE00BYWHD967	
US Dollar Class (Retail)	Accumulating	\$1,000	BYWHDB8	IE00BYWHDB89	
*EUR Class (Institutional)	Accumulating	€250,000	BYWHDC9	IE00BYWHDC96	
*EUR Class (Retail)	Accumulating	€1,000	BYWHDD0	IE00BYWHDD04	

*GBP Class (Institutional)	Accumulating	£250,000	BYWHDF2	IE00BYWHDF28	
*GBP Class (Retail)	Accumulating	£1,000	BYWHDG3	IE00BYWHDG35	
*CHF Class (Retail)	Accumulating	CHF 1,000	BYWHDH4	IE00BYWHDH42	
*CHF Class (Institutional)	Accumulating	CHF 250,000	BYWHDJ6	IE00BYWHDJ65	
A Class (Retail)	Accumulating	\$1,000	BYWHDK7	IE00BYWHDK70	
C Class (Retail)	Accumulating	\$1,000	BYWHDL8	IE00BYWHDL87	
GBP Class (Institutional Unhedged)	Accumulating	£250,000	BYWHDN9	IE00BYWHDN94	
GBP Class (Institutional Unhedged Distributing)	Distributing	£250,000	BYWHDN0	IE00BYWHDN02	

<b>Polen Capital U.S. Small Company Growth Fund</b>					
<b>Share Class Name</b>	<b>Distribution Policy</b>	<b>Minimum Initial Subscription</b>	<b>Sedol Code</b>	<b>ISIN Code</b>	<b>Cash Amount of Subscription</b> <b>(Euro/US\$/GBP/CHF)*</b> <b><i>*Delete as appropriate</i></b>
US Dollar Class (Institutional)	Accumulating	\$250,000	BYWHB92	IE00BYWHB920	
US Dollar Class (Retail)	Accumulating	\$1,000	BYWHBB4	IE00BYWHBB40	
*EUR Class (Institutional)	Accumulating	€250,000	BYWHBC5	IE00BYWHBC56	
*EUR Class (Retail)	Accumulating	€1,000	BYWHCN3	IE00BYWHCN37	
*GBP Class (Institutional)	Accumulating	£250,000	BYWHBK3	IE00BYWHBK31	
*GBP Class (Retail)	Accumulating	£1,000	BYWHBL4	IE00BYWHBL48	
*CHF Class (Retail)	Accumulating	CHF 1,000	BYWHBM5	IE00BYWHBM54	
*CHF Class (Institutional)	Accumulating	CHF 250,000	BYWHBN6	IE00BYWHBN61	
A Class (Retail)	Accumulating	\$1,000	BYWHBP8	IE00BYWHBP85	
C Class (Retail)	Accumulating	\$1,000	BYWHBQ9	IE00BYWHBQ92	
GBP Class (Institutional Unhedged)	Accumulating	£250,000	BYWHBR0	IE00BYWHBR00	
GBP Class (Institutional Unhedged Distributing)	Distributing	£250,000	BYWHBS1	IE00BYWHBS17	

Polen Capital Global Emerging Markets Growth Fund					
Share Class Name	Distribution Policy	Minimum Initial Subscription	Sedol Code	ISIN Code	Cash Amount of Subscription  (Euro/US\$/GBP/CHF)* <i>*Delete as appropriate</i>
*CHF Class (Institutional)	Accumulating	CHF 250,000	BJQX4V4	IE00BJQX4V47	
*CHF Class (Retail)	Accumulating	CHF 1,000	BJQX4T2	IE00BJQX4T25	
*EUR Class (Institutional)	Accumulating	€250,000	BJQX4P8	IE00BJQX4P86	
*EUR Class (Retail)	Accumulating	€1,000	BJQX4Q9	IE00BJQX4Q93	
*GBP Class (Institutional)	Accumulating	£250,000	BJQX4R0	IE00BJQX4R01	
*GBP Class (Retail)	Accumulating	£1,000	BJQX4S1	IE00BJQX4S18	
US Dollar Class (Institutional)	Accumulating	\$250,000	BJQX4M5	IE00BJQX4M55	
US Dollar Class (Retail)	Accumulating	\$1,000	BJQX4N6	IE00BJQX4N62	
A Class (Retail)	Accumulating	\$1,000	BJQX4W5	IE00BJQX4W53	
C Class (Retail)	Accumulating	\$1,000	BJQX4X6	IE00BJQX4X60	
GBP Class (Institutional Unhedged)	Accumulating	£250,000	BJQX4Y7	IE00BJQX4Y77	
GBP Class (Institutional Unhedged Distributing)	Distributing	£250,000	BJQX4Z8	IE00BJQX4Z84	

Polen Capital Global SMID Company Growth Fund					
Share Class Name	Distribution Policy	Minimum Initial Subscription	Sedol Code	ISIN Code	Cash Amount of Subscription  (Euro/US\$/GBP/CHF)* <i>*Delete as appropriate</i>
US Dollar Class (Institutional)	Accumulating	\$250,000	BMGTL45	IE000MI2TVK5	
US Dollar Class (Retail)	Accumulating	\$1,000	BMGTL56	IE000AEKNJU1	
*EUR Class (Institutional)	Accumulating	€250,000	BMGTKY8	IE000SR6EWT0	
*EUR Class (Retail)	Accumulating	€1,000	BMGTKZ9	IE000VV4ECX8	

*GBP Class (Institutional)	Accumulating	£250,000	BMGTL23	IE0007FT7OA1	
*GBP Class (Retail)	Accumulating	£1,000	BMGTL34	IE000VHI9W08	
*CHF Class (Retail)	Accumulating	CHF 1,000	BMGTKX7	IE0009OS4PO4	
*CHF Class (Institutional)	Accumulating	CHF 250,000	BMGTKW6	IE000A0G5EF3	
A Class (Retail)	Accumulating	\$1,000	BMGTKT3	IE000SJR2ZG7	
C Class (Retail)	Accumulating	\$1,000	BMGTKV5	IE000YHFFWQ1	
GBP Class (Institutional Unhedged)	Accumulating	£250,000	BMGTL12	IE0000D0J2C6	
GBP Class (Institutional Unhedged Distributing)	Distributing	£250,000	BMGTL01	IE000MS5FD69	
US Dollar D Class (Institutional Unhedged)	Accumulating	\$75,000,000	BPSHCW3	IE000YUI9297	

<b>Polen Capital Emerging Markets Ex China Growth Fund</b>					
<b>Share Class Name</b>	<b>Distribution Policy</b>	<b>Minimum Initial Subscription</b>	<b>Sedol Code</b>	<b>ISIN Code</b>	<b>Cash Amount of Subscription</b> <b>(Euro/US\$/GBP/CHF)*</b> <b>*Delete as appropriate</b>
US Dollar Class (Institutional)	Accumulating	\$250,000	BNZFXT0	IE0002R6ZAT2	
US Dollar Class (Retail)	Accumulating	\$1,000	BNZFXV2	IE000JG3I083	
*EUR Class (Institutional Hedged)	Accumulating	€250,000	BNZFXW3	IE00074ZAHN0	
*EUR Class (Retail Hedged)	Accumulating	€1,000	BNZFXX4	IE000RBM5XJ3	
*GBP Class (Institutional Hedged)	Accumulating	£250,000	BNZFXY5	IE000VB8VJS2	
*GBP Class (Retail Hedged)	Accumulating	£1,000	BNZFXZ6	IE000DLA4TX3	
*CHF Class (Retail Hedged)	Accumulating	CHF 1,000	BNZFY08	IE0002YHMKR7	
*CHF Class (Institutional Hedged)	Accumulating	CHF 250,000	BNZFY19	IE000YSWRWC8	

A Class (Retail)	Accumulating	\$1,000	BNZFY20	IE000NW4CNT6	
C Class (Retail)	Accumulating	\$1,000	BNZFY31	IE000973WE94	
GBP Class (Institutional)	Accumulating	£250,000	BNZFY42	IE000VY7KEP7	
GBP Class (Institutional Distributing)	Distributing	£250,000	BNZFY53	IE0008CKCHT7	

Polen Capital China Growth Fund					
Share Class Name	Distribution Policy	Minimum Initial Subscription	Sedol Code	ISIN Code	Cash Amount of Subscription (Euro/US\$/GBP/CHF)* <i>*Delete as appropriate</i>
US Dollar Class (Institutional)	Accumulating	\$250,000	BNZFY64	IE000GE04GF7	
US Dollar Class (Retail)	Accumulating	\$1,000	BNZFY75	IE000WDO5IW6	
*EUR Class (Institutional Hedged)	Accumulating	€250,000	BNZFY86	IE000XB8R4W8	
*EUR Class (Retail Hedged)	Accumulating	€1,000	BNZFY97	IE0003GTI1W1	
*GBP Class (Institutional Hedged)	Accumulating	£250,000	BNZFYB9	IE000TNNHTT9	
*GBP Class (Retail Hedged)	Accumulating	£1,000	BNZFYC0	IE0002KPL6I3	
*CHF Class (Retail Hedged)	Accumulating	CHF 1,000	BNZFYD1	IE0002E0X9B9	
*CHF Class (Institutional Hedged)	Accumulating	CHF 250,000	BNZFYF3	IE000UZPKXD6	
A Class (Retail)	Accumulating	\$1,000	BNZFYG4	IE000RRHXIA6	
C Class (Retail)	Accumulating	\$1,000	BNZFYH5	IE00097MEL26	
GBP Class (Institutional)	Accumulating	£250,000	BNZFYJ7	IE0001PT4D81	
GBP Class (Institutional Distributing)	Distributing	£250,000	BNZFYK8	IE000HMFZY00	

\*Denotes the relevant Classes that are hedged (individually a “**Hedged Class**” and together “**Hedged Classes**”). Classes that do not have a \* are unhedged (individually an “**Unhedged Class**” and together the “**Unhedged Classes**”).

Each investor must satisfy the Minimum Initial Subscription requirements applicable to the relevant Class as outlined above and must retain Shares having a Net Asset Value of the Minimum Holding

applicable to the relevant Class as outlined above. A Shareholder may make subsequent subscriptions, conversions and redemptions, each subject to a Minimum Transaction Size applicable to the relevant Class as outlined above. The Directors reserve the right to differentiate between Shareholders, waive or reduce the Minimum Initial Subscription, Minimum Holding and Minimum Transaction Size for certain investors.

I/We acknowledge that in order to receive Shares at their Net Asset Value per Share as of any particular Dealing Day, this application must be received no later than 2 pm (Irish time) on the Dealing Day on which the Shares are to be issued in accordance with the terms of the prospectus of the Company (incorporating the supplement thereto relating to the relevant Fund) (the "Prospectus"). Applications for Shares which are received by the Administrator after the Dealing Deadline for a particular Dealing Day will be processed on the next Dealing Day, unless previously withdrawn. The Company may, in exceptional circumstances, accept a share application received after the Dealing Deadline, provided it is received before the Valuation Point. I/We acknowledge that the Company, a Director or a duly appointed delegate on behalf of the Company may reject any application for Shares in whole or in part. Unless otherwise defined in this document, all words and expressions defined in the Company's Prospectus shall have the same meaning herein.

**REGISTRATION DETAILS – PRIVATE INVESTOR**

**Applicant Name:**  
\_\_\_\_\_

Date, Town / City & Country of Birth: \_\_\_\_\_

Passport Country & Number: \_\_\_\_\_

Country of Residence (for tax purposes): \_\_\_\_\_

Occupation: \_\_\_\_\_

Business Area:

<input type="checkbox"/>	Bar/Night-clubs/Restaurants/Hotels
<input type="checkbox"/>	Brokers
<input type="checkbox"/>	Car parks
<input type="checkbox"/>	Casinos/Gambling
<input type="checkbox"/>	Casinos/Games/Entertainment parks
<input type="checkbox"/>	Check cashers
<input type="checkbox"/>	Commerce of alcohol and cigarettes
<input type="checkbox"/>	Commerce of arms/Weapons and munitions
<input type="checkbox"/>	Commerce of art works
<input type="checkbox"/>	Commerce of boats and planes
<input type="checkbox"/>	Commerce of luxury cars
<input type="checkbox"/>	Commerce of luxury goods (jewellery/horses/...)
<input type="checkbox"/>	Commerce of minerals
<input type="checkbox"/>	Convenience store
<input type="checkbox"/>	Hotels/Restaurants/Cafes
<input type="checkbox"/>	Import-Export
<input type="checkbox"/>	Money transmitters and currency change
<input type="checkbox"/>	Nuclear

- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer / business name if self-employed: \_\_\_\_\_

Nationality – please provide details of any dual citizenship held or previously held:

\_\_\_\_\_

\_\_\_\_\_

Passport Number:

\_\_\_\_\_

Issuing Country:

\_\_\_\_\_

Expiry Date:

\_\_\_\_\_

**Applicant Name:**

\_\_\_\_\_

Date, Town / City & Country of Birth:

\_\_\_\_\_

Passport Country & Number:

\_\_\_\_\_

Country of Residence (for tax purposes):

\_\_\_\_\_

Occupation:

\_\_\_\_\_

Business Area:

- Bar/Night-clubs/Restaurants/Hotels
- Brokers
- Car parks
- Casinos/Gambling
- Casinos/Games/Entertainment parks
- Check cashers
- Commerce of alcohol and cigarattes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)



- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer / business name if self-employed: \_\_\_\_\_

Nationality – please provide details of any dual citizenship held or previously held:  
 \_\_\_\_\_  
 \_\_\_\_\_

Passport Number: \_\_\_\_\_

Issuing Country: \_\_\_\_\_

Expiry Date: \_\_\_\_\_

**Applicant Name:** \_\_\_\_\_

Date, Town / City & Country of Birth: \_\_\_\_\_

Passport Country & Number: \_\_\_\_\_

Country of Residence (for tax purposes): \_\_\_\_\_

Occupation: \_\_\_\_\_

- Business Area:
- Bar/Night-clubs/Restaurants/Hotels
  - Brokers
  - Car parks
  - Casinos/Gambling
  - Casinos/Games/Entertainment parks
  - Check cashers

- Commerce of alcohol and cigarettes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)
- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer / business name if self-employed: \_\_\_\_\_

Nationality – please provide details of any dual citizenship held or previously held:

\_\_\_\_\_

—

Passport Number:

\_\_\_\_\_

Issuing Country:

\_\_\_\_\_

Expiry Date:

## REGISTRATION DETAILS – INSTITUTIONAL AND CORPORATE INVESTORS

**Applicant Name:** \_\_\_\_\_

The required Anti-Money Laundering documents, outlined in Appendix 1 hereto must be submitted in full by mail along with the original application form. Failure to do so may result in the cancellation of this subscription request.

Country & Date of Incorporation: \_\_\_\_\_

Please select one of the below which best represents your corporation:

- Bank
- Nominee
- Corporate
- Pension Fund

- Investment/Mutual Fund
- Other Financial Institution
- Foundation/Association
- Government entity
- Trust
- Partnership
- Insurance Company
- Other (please specify):

Investor's Principle Business Activity: \_\_\_\_\_

**CONTACT DETAILS (all Investor types)**

Registered Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Mailing Address (if different): \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Primary Contact Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Email address\*: \_\_\_\_\_

\*Note 'Miscellaneous' section below regarding the KID

**Please complete the below should you require copies of all correspondence to be issued to additional parties.**

Contact Name: \_\_\_\_\_

Correspondence Address: \_\_\_\_\_  
 \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax \_\_\_\_\_

Email\*: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Correspondence Address: \_\_\_\_\_

Telephone:

\_\_\_\_\_ Fax \_\_\_\_\_

Email\*:

\_\_\_\_\_

Contact Name:

\_\_\_\_\_

Correspondence Address:

\_\_\_\_\_  
\_\_\_\_\_

Telephone:

\_\_\_\_\_ Fax \_\_\_\_\_

Email\*:

\_\_\_\_\_

Contact Name:

\_\_\_\_\_

Correspondence Address:

\_\_\_\_\_  
\_\_\_\_\_

Telephone:

\_\_\_\_\_ Fax \_\_\_\_\_

Email\*:

\_\_\_\_\_

\*Please note that by providing contact email address and / or Fax numbers, you are electing to receive dealing confirmations and account statements via email and / or fax to these contact details and copies will not be issued by post (regular mail) unless you request this in writing.

## SOURCE OF FUNDS & RETURN PAYMENTS

### Subscription Payments

Please provide below full banking details for the account from which the appropriate subscription settlement is to be received. Settlement can only be accepted by telegraphic transfer from an account in the investor's own name, via CHAPS or SWIFT, and a detailed written explanation is required for approval if this is not the case. These account details will be maintained on file as the Redemption Account of Record, and future payments back to the investor(s) will be returned to this account unless an original written request for change has been received and approved. Interest is not earned on early subscription settlement. Please note that these are mandatory and the account must be in the name(s) of the Account Holder(s) or the Account Holder must be identified.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

In case payments are made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

Please note that in order to prevent third party payments, we require subscription payments to come from a bank account in the name of the registered Account Holder.

### Note for Financial Institutions and Intermediaries:

In order to comply with EU Regulation 2015/847, and FATF SR VII, we require the following information to be included for all subscription wires made to the relevant Fund.

For MT 103, Field 50a is to be used for Ordering Customer's information (either option below, as appropriate)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
50a (option K)	Ordering Customer	The Payer's account number, name and address
50a (option A)	Ordering Customer	The Payer's account number and the BIC

For MT 202 (Field 52)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
52A	Ordering Institution	The Ordering Institution's identifier code (BIC)

### Redemption Payments

Please provide below full banking details for the account from which the appropriate redemption payments. Please note that these are mandatory and the account must be in the name(s) of the Account Holder(s).

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

In case payments must be made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

\* Please be aware that payments to, or for the accounts of third parties are not accepted. Only where the investor is under 18 years, payments will be made to the legal guardian.

## SUBSCRIPTION SETTLEMENT

Subscription monies are payable in the currency of denomination of the relevant Class. Applications for Shares in currencies other than the currency of denomination of the relevant Class in which the applicant has elected to apply for Shares will not be accepted save where agreed in advance with the Company and the Administrator. In such circumstances, the cost and risk of converting currency will be borne by the investor.

Subscription payments net of all bank charges should be paid by CHAPS, SWIFT or telegraphic or electronic transfer to the relevant bank account specified below. No interest will be paid in respect of payments received in circumstances where the application is held over until a subsequent Dealing Day.

Payment in respect of subscriptions must be received in cleared funds by the Administrator no later than three Business Day following the relevant Dealing Deadline. The Company reserves the right to defer the issue of Shares until receipt of cleared subscription monies by the relevant Fund.

**Applicants should note that in the case of Class A (Retail) and Class N (Retail) in certain Funds, a subscription fee of up to 5% and 3% of the value of the amount of investment in Class A (Retail) and Class N (Retail) respectively may be charged which will be payable to the relevant financial intermediary or financial broker through whom Shares in that Class have been acquired.**

### US DOLLAR (USD)

Intermediary Bank:	Bank of America New York
SWIFT:	BOFAUS3N
Beneficiary Bank:	RBC Investor Services Bank SA Luxembourg
SWIFT:	FETALULL
Final Beneficiary:	Polen Capital Investment Funds plc - Collection AC
IBAN number:	LU133414920028640000
Ref:	Investor name and transaction no. (see contract note)

### EURO (EUR)

Intermediary Bank:	Bank of America London**
SWIFT:	BOFAGB22**
Beneficiary Bank:	RBC Investor Services Bank SA Luxembourg
SWIFT:	FETALULL
Final Beneficiary:	Polen Capital Investment Funds plc - Collection AC
IBAN number:	LU193415920028641200
Ref:	Investor name and transaction no. (see contract note)

### STERLING (GBP)

Intermediary Bank:	Bank of America London
SWIFT:	BOFAGB22
Beneficiary Bank:	RBC Investor Services Bank SA Luxembourg
SWIFT:	FETALULL
Beneficiary account:	Polen Capital Investment Funds plc - Collection AC
IBAN number:	LU463416920028649200
Ref:	Investor name and transaction no. (see contract note)

**SWISS FRANC (CHF)**

Intermediary Bank:	Bank of America
SWIFT:	BOFACH2X
Beneficiary Bank:	RBC Investor Services Bank SA Luxembourg
SWIFT:	FETALULL
Beneficiary account:	Polen Capital Investment Funds plc - Collection AC
IBAN number:	LU303419920028644100
Ref:	Investor name and transaction no. (see contract note)

**\*\*NOTE for EUR Payments:** In order to benefit as much as possible from local clearing, it is recommended that you route your payment via one of the following of our Bank of America EUR correspondent banks:

<b>Code Swift</b>	<b>Bank Name</b>
BOFAGB22	Bank of America London
BOFAFRPP	Bank of America Paris
BOFADEFX	Bank of America Frankfurt
BOFAIT2X	Bank of America Milan
BOFAES2X	Bank of America Madrid
BOFABE3X	Bank of America Antwerp
BOFAIE3X	Bank of America Dublin
BOFANLNX	Bank of America Amsterdam

Should you have any queries, please contact RBC Investor Services Ireland Limited, 4th Floor, One George's Quay Plaza, George's Quay, Dublin 2, Ireland, telephone + 353 1 4406555, email [Dublin\\_TA\\_Customer\\_Support@rbc.com](mailto:Dublin_TA_Customer_Support@rbc.com)



*TYPE OF INVESTMENT*

I/we confirm that the investment into the Fund(s):

Is made on my/our own behalf and is not in favour of a third party

If you have ticked the box immediately preceding please proceed to **“EXPECTED VOLUMES & FREQUENCY”** below. Otherwise please review and tick the below boxes as appropriate.

- Is made on behalf of third party and that the account will reflect:
- a Pooled Account (reflecting a pool of underlying clients typically with a generic designation such as “Clients account” or with a designation that makes reference to a region, product or multiple specific customers)
  - a Segregated Account (a specific account for a single underlying third party)

In such case, please select either one option below:

- the designation of the account will refer to the underlying client name
- the designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client)

Please indicate whether the account is used to transact "*advised*" or "*execution-only*" business. Per account only one type is possible. If both types of transactions are used, please be advised that two different accounts need to be created. Please note that the information provided is subject to the general terms and conditions of your investment in the Fund.

- Advised business                       Execution-only business

**MIFID CATEGORISATION**

Please indicate the category under Annex II of Directive 2014/65-Markets in Financial Instruments Directive II) (“MiFID”) which you deal with the underlying investor(s) for this account. Please note that if you fail to indicate the category, the underlying investor(s) will be classified as a Retail Client. Please note that the information provided is subject to the general terms and conditions of your investment in the Fund(s).

- Retail Client
- Professional Client
- Eligible Counterparty

**EXPECTED VOLUMES & FREQUENCY (BANKS/NOMINEES DO NOT NEED TO COMPLETE)**

Please complete the below section with your expectations in terms of investment in the Fund(s). The expected volumes and frequency provided will not form any kind of commitment from the Account Holder, the beneficial owners or the relevant intermediary.

**Expected frequency of trading**

Please tick the anticipated frequency.

--	--	--	--	--	--	--	--

<input type="checkbox"/> Single transaction	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annual	<input type="checkbox"/> Annual	<input type="checkbox"/> Ad-hoc
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**Expected investment amount**

<input type="checkbox"/> Individuals				
	Expected Total Investment			
<input type="checkbox"/> Financial Institutions, Insurance Companies, Pension Funds, Investment Funds, Listed Companies				
	Expected Total Investment:			
<input type="checkbox"/> Other types of investors				
	Expected Total Investment:			

**ULTIMATE ECONOMIC BENEFICIARY- APPLIES TO ALL INVESTOR TYPES EXCLUDING INDIVIDUAL/ RETAIL INVESTORS**

**Ultimate Economic Beneficiary information**

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed. Please note for Trusts it includes all Trustees, beneficiaries, settlor and protector where applicable.

**Important:** In case of indirect ownership, please provide details of the beneficiary layers and we will advise what additional information is required

Please provide the information if any of the Account Holder or the ultimate economic beneficiary(ies) is/are either:

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected:	If applicable, please describe:
<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	

**Ultimate Economic Beneficiary details**

<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms (please tick the right choice)			
Surname(s)		First Name	
Date of birth (DD/MM/YYYY) / /	Place & Country of birth	Occupation and area of activity:	Nationality

Passport / ID Number: (circle the right choice)	Issuing Country:	Expiration Date (DD/MM/YYYY) / /	Double Nationality: <input type="checkbox"/> Never <input type="checkbox"/> Renounced <input type="checkbox"/> Yes, which:
Registered Address* Street            Number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:
Mailing Address if different from above Street            Number	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:
Telephone:	Fax:	E-Mail: @	Mobile-Phone:

\* P.O. Box and "in care of" addresses are not valid registered address. These are acceptable for mailing purposes.

\_\_\_\_\_  
Signature of the ultimate economic beneficiary

\_\_\_\_\_  
Date and place of signature

### ECONOMIC ORIGIN OF THE MONIES INVESTED

#### Where investing in own name and on own behalf:

The Account Holder declares that the origin of the funds used for subscription is coming from:  
(please tick the right choice)

- Inheritance (please provide some details)      Details:
- Sale of real estate (please provide some details)
- Redemption from other investments (please provide some details)
- Savings on salary
- Treasury investment (Corporate)
- Other (please describe)

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

\_\_\_\_\_  
Signature of Account Holder

\_\_\_\_\_  
Signature of Account Holder 2

## DECLARATION OF RESIDENCE OUTSIDE 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.

**(Delete (a) or (b) below as appropriate)**

(a)            Declaration on own behalf

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:-

- I am/we are/the company is\* not currently Irish Resident or Irish Ordinary Resident; and
- Should I/we/the company\* become Irish Resident I/we\* will so inform the Company, in writing, accordingly.

**or**

(b)            Declaration as Intermediary

I/we\* declare that I am/we\* are applying for Shares on behalf of persons:-

- who will be beneficially entitled to the Shares; and
- who, to the best of my/our\* knowledge and belief, are neither Irish Resident nor Irish Ordinary Resident.

I/we\* also declare that:-

- unless I/we\* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us\* from the date of this application will be made on behalf of such persons; and
  - I/we\* will inform you in writing if I/we\* become aware that any person on whose behalf I/we\* hold Shares becomes Irish Resident.

\* Delete as appropriate

**Name and address of applicant:** \_\_\_\_\_

\_\_\_\_\_

**Signature of applicant or authorised signatory:** \_\_\_\_\_ (declarant)

**Capacity of authorised signatory (if applicable):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Joint applicants:**

**Names** \_\_\_\_\_ **Signatures** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Note: should you fall within the category of an "Exempt Irish Investor", please contact the Administrator for the appropriate Declaration Form.

## US PATRIOTS ACT

I/we hereby represent that that: I/we am/are not an individual(s) or entity listed on the United States Department of Treasury's Office of Foreign Assets Control ("OFAC") website and I/we am/are not directly or indirectly affiliated with, any country, territory, individual or entity named on an OFAC list or prohibited by any OFAC sanctions programmes.

I/we hereby represent that the monies to be used by me/us in subscribing for share in the Company are not directly or indirectly derived from activities that may contravene United States federal or state, or international, laws and regulations, including anti-money laundering laws and regulations.

I/we are not a senior political figure(s) and I /we am/are not an immediate family member(s) of or closely associated with a senior political figure.

I/we are not a "foreign shell bank" and does not transact with a "foreign shell bank".

## FATCA AND THE COMMON REPORTING STANDARD ("CRS")

I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016. Please see Appendix 2 entitled "Customer Information Notice – Common Reporting Standard" for further information on CRS.

In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company, the Manager, the Investment Manager, the Distributor and the Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Manager, the Investment Manager, the Distributor and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Manager, the Investment Manager, the Distributor and/or the Administrator may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company/ the Manager/ the Investment Manager/ the Administrator/ the Distributor (as applicable). If relevant, I/we agree to notify the Company / Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Manager/ the Investment Manager/ the Distributor and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company, the Manager, the Investment Manager, the Distributor or the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company, the Manager, the Investment Manager, the Distributor or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and the Depository are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company, the Manager

and the Depositary against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included at Appendix 3 and 4. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Manager, the Investment Manager and the Administrator immediately of any such change and agree to immediately take such action as the Company, the Manager, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.

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

I/We hereby acknowledge that I/we should consult our own tax advisers about the applicability of FATCA, CRS and any other reporting requirements with respect to my/our own situation.

### **RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013**

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Regulations") requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders.

In order to satisfy the Regulations, the Company must collect the following additional information from any applicants<sup>1</sup>**which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):**

<b>Tax Reference Number (TRN) / PPS Number<sup>2</sup></b>	
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Furthermore, the Regulation requires 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 contain your name, address and tax reference number will also be acceptable. In the case of joint Account Holders, the additional documentation is required for each applicant.

### **DATA PRIVACY STATEMENT**

<sup>1</sup> Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

<sup>2</sup> A PPS Number is required if the relevant applicant is an individual.

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) the Irish Data Protection Acts 1988 to 2018 as amended, updated or supplemented from time to time) and any other applicable legislation or regulations implementing Directive 95/46/EC (collectively, “**Data Protection Legislation**”), the Company 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 Company will be processed by the Company, 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 Company acting as a data controller may itself (or through third parties including but not limited to Amundi Ireland Limited (the “**Manager**”) RBC Investor Services Ireland Limited (the “**Administrator**”), RBC Investor Services Bank S.A. Dublin Branch (the “**Depository**”) and Polen Capital Management, LLC as investment manager and distributor together with any sub-distributors that may be appointed from time to time (collectively the “**Investment Manager**”), 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.

In this regard, 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 Company will be collected, stored, disclosed, used and otherwise processed by the Service Providers for the purposes outlined in the table below.

<b>Processing Activity by or on behalf of the Company</b>	<b>Legal Basis for Processing</b>
Where you are a natural person, opening your account with the Company and managing and administering your holdings in the Company and any related account on an ongoing basis.	Performance of the contract between the Company and you
Where you are a natural person, disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Company.	Performance of the contract between the Company and you.
Complying with any applicable legal, tax or regulatory obligations imposed on the Company including legal obligations under Company law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation.	Compliance with a legal obligation to which the Company is subject
Where you are a non-natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Company.	Pursuing the legitimate interests of the relevant Fund in managing and administering the holdings of the non-natural person in the Fund and any related account on an ongoing basis.
Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Company, 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 Company, dispute resolution, record keeping, security and/or training purposes.	Pursuing the legitimate interests of the Company including: <ul style="list-style-type: none"> <li>For the Company to enjoy the benefit of, enforce or defend its rights and perform its obligations in connection with the contract between the Company and you.</li> </ul>

Where the pursuit of the legitimate interests of the Company is indicated above to be the legal justification relied upon to process your personal data, a balancing test has been carried out to weigh the legitimate interests of the Company against the potential risks posed to your interests, fundamental rights and freedoms as a data subject. Further information relating to the balancing test undertaken by the relevant Fund in respect of such processing is available upon request.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company 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 Company 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 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. The implementation of such PEP screening and financial sanctions screening programmes may result in the Company or its Service Providers delaying or refusing an application for Shares in the Company or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your Shares appear on such screening programmes. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Company or its Service Providers. 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.

### **Undertaking in connection with other parties**



By accepting to provide personal data to the Company, you undertake to be authorised to disclose to the Company 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 Company. 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 Company and its or their duly appointed agents and any of related, associated or affiliated companies within the Company's or the Service Providers' groups, as applicable, 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 Company 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. These countries include the United States of America, Canada and Malaysia.

Any such transfers outside of the EEA are made in accordance with the requirements of Articles 44 to 49 of the GDPR. Where such transfers are made to countries that do not have an adequacy decision in place, the Company will 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 between companies within the Company's or the Service Providers' groups, as applicable, and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact [gerald.power@amundi.com](mailto:gerald.power@amundi.com) should you wish to obtain information concerning such safeguards.

### **Data Retention Period**

The Company and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Company 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 Company 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 personal data is being processed for direct marketing purposes and also where the Company is processing personal data for legitimate interests.

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

The Company 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 Company or its Service Provider may request proof of identification to verify your request.

#### **Failure to provide personal data**

As outlined in the section titled “**Purposes of Processing and Legal Basis for Processing**”, the provision of personal data by you is required for us to manage and administer your holdings in the Company and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you **and/or** may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Company.

#### **Contact us**

If you have any questions about our use of your personal information, please contact us by email at [gerald.power@amundi.com](mailto:gerald.power@amundi.com)

I/we acknowledge that I/we have been made aware of and have read the Data Privacy Statement which provides an outline of my/our data protection rights and the Company’s data protection obligations as they relate to my/our investment in the Company.

## **DECLARATIONS AND SIGNATURES**

I/we, having received and considered a copy of the Prospectus and the KID (as defined below) applicable to the Share Classes to which this application relates, hereby confirm that this application is based solely on the current Prospectus, the KIDs, the memorandum and articles of association of the Company (as may be amended from time to time) and the material contracts referred to in the Prospectus together with (where applicable) the most recent annual report and accounts of the Company.

I/we undertake to observe and be bound by the provisions of the memorandum and articles of association of the Company (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).

## **ANTI MONEY LAUNDERING**

I/we hereby acknowledge, confirm and represent that in subscribing for Shares, I/we are not involved in: (i) concealing or disguising any property which is, or which directly or indirectly represents, the proceeds of a criminal activity; or (ii) converting or transferring any property which is, or which directly or indirectly represents, the proceeds of criminal activity for the purpose of avoiding prosecution for an offence. I/we hereby acknowledge, confirm and represent that I/we do not know or suspect and have no reason to suspect that any of the subscription monies forwarded by the subscriber for Shares is, or directly or indirectly represents, another person's proceeds of a criminal activity and the Company, the Manager, the Investment Manager and the Administrator shall be held harmless and indemnified against any penalty or loss arising as a result of the foregoing representations and undertaking being shown to be untrue or incorrect in any way. I/we acknowledge that due to money laundering requirements operating within their respective jurisdictions the Company, the Manager, the Investment Manager and the Administrator may require further identification of the subscriber(s) before the shares can be registered in the subscriber's name and the Company, the Manager, the Investment Manager and the Administrator shall be held harmless and indemnified against any loss arising as a result of a delay or failure to process the application if such information as has been required by the parties referred to has not been provided by the subscriber.

I/we acknowledge that redemption proceeds will not be paid until this original application form has been received by the Administrator and all anti-money laundering procedures have been completed.

I/we acknowledge that the Company or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a subscriber if any of the directors of the Company or the Administrator suspects or is advised that the payment of any redemption or distribution monies to such subscriber might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company, the Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.

## **AMENDMENT, WAIVER**

This application form may be amended and the observance of any provision hereof may be waived only with the written consent of the subscriber and the Company.

## **APPLICATION TO BE ENTERED ON THE REGISTER OF MEMBERS**

I/we hereby apply to be entered in the Shareholders' register in the name and address set out above as the holder/holders of the Shares issued in relation to this application. However, I/we acknowledge that the Administrator reserves the right in certain circumstances to register any Shares issued to me/us in relation to this application in a different format where this is necessary to comply with legal requirements.

## **UNDERSTANDING OF THE PROSPECTUS AND OF THE RISKS AND CONFLICTS RELATED TO AN INVESTMENT IN THE FUNDS**

I/we represent that I/we have received, read, carefully considered and understand the Prospectus and in particular the sections of the Prospectus entitled "Investment Objectives and Policies" and "Risk Factors" and the sections of the relevant supplement relating to the Fund entitled "Investment Objective", "Investment Policies" and "Risk Factors". I/we further represent that I/we have consulted our own attorney, accountant or investment advisor with respect to an investment in Shares and its suitability for me/us. I/we understand and acknowledge that the Prospectus and the application form should not be considered to constitute legal, tax, regulatory, financial, accounting or other advice. I/we understand that there are substantial risks, financial hazards, restrictions on redemptions in the Company, compulsory redemptions and temporary suspension provisions regarding the net asset value of the Fund(s), restrictions on transfers of the Shares and tax consequences involved in an investment in the Company. I/we confirm that no representations or warranties have been made to me/us other than those contained in the Prospectus, and that I/we have not relied upon any representation or warranty not contained in the Prospectus in making this subscription. I/we represent that I/we have such knowledge and experience in financial, business and investment matters and that I am/ we are capable of evaluating the merits and risks of an investment in the Company. I/we confirm that I am/we are in agreement with the distribution policy outlined in the Prospectus.

I/we hereby acknowledge that where I/we have invested in a Hedged Class of a Fund, I/we understand that these Classes will be hedged against exchange rate fluctuation risks which arise between the denominated currency of the Share Class and the Base Currency of that Fund. I/we further understand that this currency exposure may not be hedged in the circumstances set out in the specific Supplement for the Fund.

I/we further understand that the successful execution of this hedging strategy cannot be assured. I/we also understand that other Classes within the relevant Fund may engage in currency hedging transactions in order to hedge currency exposure in respect of that Class. Although the Company has taken steps to ensure that the risk of contagion between Classes is mitigated in order to ensure that the additional risk introduced to the relevant Fund through the use of a derivative overlay is borne by the Shareholders in that Class, this risk cannot be fully eliminated.

I/we hereby acknowledge that where I/we have invested in an Unhedged Class of a Fund, I/we understand that the currency exposure arising as a result of that Class being denominated in a currency other than (i) the Base Currency of the relevant Fund or (ii) the designated currencies of the underlying assets of the relevant Fund will not be hedged. I/we also understand that a currency conversion will take place on subscriptions, redemptions, conversions and distributions at prevailing exchange rates and that the value of the Shares acquired by me shall be subject to exchange rate risk in relation to the Base Currency and in relation to the designated currencies of the underlying assets of the relevant Fund. I/we further understand that other Classes of the relevant Fund may engage in currency hedging transactions and that although the Company has taken steps to ensure that the risk of contagion between Classes is mitigated to ensure that any additional risk introduced to a Fund as a result of the use of a derivative overlay is borne by the relevant Class only, this risk cannot be fully eliminated.

#### **SUBSCRIBER NOT AN INELIGIBLE APPLICANT**

By opening this account and signing below, I/we represent and warrant that I/we am/are able to acquire and hold Shares in the relevant Fund without violating applicable law. I/we further represent and warrant that I/we am/are not a U.S. Person and I am/we are not acquiring Shares in the Company indirectly on behalf of a U.S. Person as defined in the Prospectus.

In particular, (i) I/we understand that the Fund(s) has/have not been and will not be registered under the United States Investment Company Act of 1940, as amended, and that the Shares have not been registered under the United States Securities Act of 1933, as amended, or any applicable securities laws of any state or other political sub-division of the United States and, unless described otherwise in the Prospectus, the Shares may not be offered, sold, transferred, assigned or delivered, directly or indirectly, in the United States or to, or for the account or benefit of, a US Person at any time.

If your tax status changes and you become a U.S. citizen or a resident, you must notify us within 30 days.

#### **CORRESPONDENCE**

I/we consent to any notice or other document to be sent by the Company or the Administrator to me/us as a Shareholder, by electronic means including but not limited to email, swift or posting such notice or other document on a website notified to me/us by post to my/our correspondence address noted above or by email to the email address which has been provided to the Company, the Administrator or its delegate in completing

this share application form or otherwise which I/we acknowledges constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications electronically by notifying the Company and the Administrator in writing at the above address provided that my/our agreement to receive communications electronically shall remain in full force and effect pending receipt by the Administrator of written notice of such revocation. I/we undertake to keep the Company and the Administrator informed of any change to such email address.

#### **FULL POWER AND AUTHORITY. COMPLIANCE WITH APPLICABLE LAWS AND REGULATIONS**

I/we represent that (i) I/we have the full power and authority to execute and deliver this application form, to subscribe for Shares and to make payment therefore to the Company; (ii) if the applicant is not an individual, its purchase of Shares and the execution and delivery of this application form have been duly authorised by all necessary corporate or other action; and (iii) that this application form is legal, valid and binding against the applicant in accordance with its terms and is executed in accordance with and does not contravene any applicable laws or regulations.

#### **NO MISREPRESENTATIONS, INDEMNITY**

I/we understand that a misrepresentation or breach of any warranty, agreement, certification or representation made by me/us herein could subject the Company to significant damages and expenses. To the fullest extent permitted by law, I/we hereby agree to indemnify, defend, and hold harmless the Company, the Directors, the Shareholders, the Manager, the Administrator, the Depositary, the Investment Manager, any of their respective affiliates and any other party for from and against any claim, loss, liability, damage, cost, or expense (including attorneys' and accountants' fees and expenses) to which it may become subject by reason of:

- (a) any breach of or inaccuracy in my/our representations, warranties, certifications or agreements herein or in any other document delivered by me/us to the Company or its Administrator, including, without limitation the defense of any claim based on any allegation of fact inconsistent with any of such representations, warranties or agreements;
- (b) any failure by me/us to comply with any covenant or agreement made by us/me in this application form or in any other document delivered by me/us to the Company or its Administrator;
- (c) any disposition of the applicant's Shares contrary to any of such representations, warranties or agreements or to the provisions of the memorandum and articles of association (as may be amended from time to time) of the Company; or
- (d) any action, suit or proceeding based on a claim that any of such representations, warranties or agreements was inaccurate or misleading or otherwise cause for obtaining damages or redress from any such person under any applicable law or regulation.

#### **GOVERNING LAW**

This application form shall be construed in accordance with, and governed by, the laws of Ireland.

#### **IRREVOCABILITY. EXECUTION AND PAYMENT**

The present application form is irrevocable. I/we, the applicant named herein, subscriber for Shares in the Company, undertake to transfer for good value the consideration for this application. I/we represent that, in consideration of the Company or the Administrator processing this application form and making a provisional allotment of Shares I/we hereby agree to indemnify and hold harmless the Company, the directors of the Company, the Shareholders, the Manager, the Investment Manager, the Administrator, the Depositary, any of their respective affiliates against any claims, losses, damages, costs or expenses (including attorneys' fees and other related out-of-pocket expenses) incurred by them as a result of my/our failure to provide consideration for this application of Shares within the time required by the Company in accordance with the terms of the Prospectus.

If cleared funds representing the subscription monies in respect of the Shares are not received by the Company within such period after the relevant Dealing Day as the Directors may determine the Directors may cancel any provisional allotment of Shares in respect thereof. The Company may charge the applicant for any expense incurred by it or the Fund(s) or for any loss to the relevant Fund arising out of such non-receipt or non-

clearance. In addition, the Company will have the right to sell all or part of the applicant's holding of Shares in the relevant class of the relevant Fund in order to meet those charges.

## KEY INFORMATION DOCUMENT

I/We\* hereby acknowledge that I/we\* have been offered the choice of receiving the Prospectus and the relevant key information document relating to the relevant Fund (comprising either (i) a key information document prepared in accordance with Regulation 1286/2104 ("PRIIPs Regulation") or a key investor information document prepared in accordance with the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011, as amended) ("UCITS Regulations") as applicable (each a "KID") on paper or in electronic form by means of a website and hereby specifically consent to receiving the KID in electronic form by way of accessing the latest version of the document online at [www.polencapital.com](http://www.polencapital.com) (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 KID will be available on [www.polencapital.com](http://www.polencapital.com) 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 KID can be accessed.

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

Where I/we\* are investing as nominee, I/we\* shall provide my/our\* client(s) with the KID issued in respect of the relevant share class and I/we\* shall ensure that I/we\* do so in compliance with the requirements set down in the PRIIPs Regulation or the UCITS Regulations as applicable, as both may be amended, updated or supplemented from time to time and any other applicable laws in any jurisdiction in carrying out this activity. I/We\* shall maintain records of my/our\* provision of the KID to my/our\* clients and shall furnish such records to the Fund, or its delegates, upon request.

Where I/we have received a copy of the KID or the Prospectus via a durable medium other than paper (e.g. email or website, as relevant etc.) I/We confirm that:

- (i) the provision of the KID or Prospectus using such a durable medium is appropriate to the context in which the business between the Company and I/us is, or is to be, carried on; and
- (ii) when offered the choice between information on paper or in that other durable medium (including website), I/we specifically chose that other medium in respect of all subscriptions present and future.

Where I/we received the KID and the Prospectus in electronic form by way of accessing the latest version of the document via a website, namely [www.polencapital.com](http://www.polencapital.com), I/we confirm that:

- (iii) the provision of the KID or the Prospectus in that medium is appropriate to the context in which the business between the Company and I/us is, or is to be, carried on;
- (iv) when offered the choice between information on paper or in electronic form by way of accessing the latest version of the relevant KID via a website, I/we specifically chose electronic form by way of accessing the latest version of the document via a website in respect of all subscriptions present and future
- (v) I/We consent to the provision of the KID or Prospectus by means of the website at [www.polencapital.com](http://www.polencapital.com);
- (i) I/We have been notified electronically of the address of the website (i.e. [www.polencapital.com](http://www.polencapital.com)), and the place on the website where the information may be accessed (i.e. [www.polencapital.com](http://www.polencapital.com)).

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

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

I/we acknowledge and understand that if necessary, a copy of the relevant KID is nevertheless available in paper form and free of charge upon request to the Administrator (RBC Investor Services Ireland Limited, 4th Floor, One George's Quay Plaza, George's Quay, Dublin 2, Ireland, telephone + 353 1 4406555, email Dublin\_TA\_Customer\_Support@rbc.com).

### **MISCELLANEOUS**

I/we hereby authorise the Administrator to accept and execute any instructions (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me/us in written form, by facsimile or by electronic means. I/we hereby agree to indemnify each of the Administrator, the Manager and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by me/us, i.e. facsimile, instructions confirmed by me/us in writing. The Administrator and the Company may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument reasonably believed to be genuine or to be signed by properly authorised persons.

I/we acknowledge that subscription monies representing less than the subscription price for a Share will not be returned and that fractions of shares will be issued where any part of the subscription monies for shares represents less than the subscription price for one Share, provided however, that fractions shall not be less than 0.01 of a Share. I/we acknowledge that subscription monies, representing less than 0.01 of a Share will not be returned to the investor but will be retained by the Company in order to defray administration costs.

I/we declare and agree that any further application for Shares by me/us shall be (i) made or be deemed to be made in accordance with the then relevant documentation and (ii) understood as reiteration of all information made herein.

I/we declare and agree to provide upon request of the Company, the Administrator or any agent they may use, the necessary supporting identification documentation as requested by Irish law.

I/we agree to provide these representations to the Company and the Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the Company and/or the Directors may reasonably require to substantiate such representations.

I/we understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares by me/us shall be governed by them, and I/we agree to notify the Company and the Administrator immediately, if any representation or warranty is no longer accurate and to abide by any directions from the Company or the Administrator arising as a result.

I/we declare that I/we have been advised about and taken knowledge of the applicable general terms and conditions of my/our investment in the Fund(s).

I/we declare that the information contained in the declarations completed above and below is true and correct and I/we undertake to promptly inform the Administrator of any changes in the information provided.

I/we confirm that being a person that I am/we are over 18 years of age and having full capacity to subscribe, hold and deal in Shares of the Fund(s).

I/we confirm that I/we understand that this application is subject to verification for receipt and acceptance by the relevant Fund, the Company, the Administrator or any other agent appointed by them.

(In respect of joint shareholdings only). We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) of us or the executor or administrator of such survivor(s).

“Russian Restricted Investors” include any Russian national, Russian resident or any legal person, entity or body established in Russia unless the relevant natural person is also a national of a Member State or has a temporary or permanent residence permit in a Member State.

“Belarusian Restricted Investors” include any Belarusian national or natural person residing in Belarus or any legal person, entity or body established in Belarus (save where the Belarusian national/natural person is also a national of a Member State or has a temporary or permanent residence permit in a Member State).

By ticking the box below, I/we confirm that neither I/we nor any of my/our beneficial owner(s) or underlying investor(s), constitute any of the following:

- (i) Russian national
- (ii) Natural person residing in Russia
- (iii) Legal person, entity or body established in Russia
- (iv) Legal person, entity or body which is owned by a Russian national or a natural person residing in Russia
- (v) Belarusian national
- (vi) Natural person residing in Belarus
- (vii) Legal person, entity or body established in Belarus;
- (viii) Legal person, entity or body which is owned by a Belarusian national or a natural person residing in Belarus

I/We note that the box below should not be ticked by me/us if the I/we am/are or any of my/our beneficial owner(s) or underlying investor(s), is a Russian or Belarusian national or natural person residing in Russia or Belarus or an owner of a Russian or Belarusian legal person, entity or body and the I/we am/are also permanently or temporarily resident in an EU Member State or is a national of an EU Member State.

This information is being gathered by the Company in order to comply with applicable obligations imposed on it under Article 5f of Council Regulation (EU) 833/2014 as amended and Article 1(y) of Regulation (EC) No 765/2006 as amended.

I/We confirm that neither I/we, nor any of my/our underlying investor(s) or beneficial owner(s) of the shares in the Company appear on any sanctions list or are otherwise subject to any sanctions programme.

### AUTHORISATION

The following declaration is to be signed by each Account Holder:

- Joint or Common owners: The declaration must be signed by all owners individually.
- Minors: The declaration must be signed by the guardian on behalf of the Minor.
- Corporate: The declaration must be signed by a legal representative of the company, supported by documentary evidence of the authorisation to sign on behalf of the corporate.

I/we agree to be bound by the declarations, confirmations, representations, consents and indemnities set out in this application form

Signature (1) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_

Name Authorised Signatory (1) \_\_\_\_\_

Date and place of signature \_\_\_\_\_

Signature (2) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_



Name Authorised Signatory (2) \_\_\_\_\_  
Date and place of signature \_\_\_\_\_  
Signature (3) \_\_\_\_\_  
Capacity of Authorised Signatory \_\_\_\_\_  
Name Authorised Signatory (3) \_\_\_\_\_  
Date and place of signature \_\_\_\_\_  
Signature (4) \_\_\_\_\_  
Capacity of Authorised Signatory \_\_\_\_\_  
Name Authorised Signatory (4) \_\_\_\_\_  
Date and place of signature \_\_\_\_\_

**IMPORTANT INFORMATION**

**This application form is subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.**

To be valid, this Application Form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant and in the case of joint applicants, each must sign. In the case of a corporation, the application must be signed by authorised signatories as agreed in the corporate signing mandate.

If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

**AUTHORISED SIGNATORIES**

The Company and Administrator are authorised to act on the written instructions of any person listed below until further notice. For corporate entities, a certified authorised signatory list should also be attached.

Name	Signature
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

Date:

Company Seal / Stamp (if applicable):

## Appendix 1

### ANTI MONEY LAUNDERING REQUIREMENTS

Under Irish and European legislation covering anti-money laundering and the taxation of savings the Company and the Administrator are required to obtain the following documentation to verify the identity, permanent address and tax residency status of all new clients.

In the event of delay or failure by an investor or applicant to produce any information required for verification purposes, the Administrator of the Company may refuse to accept the application and subscription monies.

**Redemption proceeds will not be processed until the Administrator is in receipt of the required anti-money laundering documentation and the original Application Form, together with the original banking details for the settlement of the redemption proceeds. All documentation provided must be in original form or certified as being a true copy of the original version.**

*Where the AML documentation provided is not in English a translation of the relevant documents into English may be required. In such instance, the translation should be certified as a true copy. The Administrator will also require the non English language version of the document being translated.*

#### **Application Documentation – Required for all initial subscriptions**

- Original Application Form (including the relevant tax Declaration)
- Original or original certified Payment Instructions
- Original or original certified Authorised Signatory List (if applicable)

#### **Retail – Individual or Joint**

- Original certified copy of Proof of Identity (certified copy of passport with signature, Driving Licence with signature or National ID card with signature)
- Original or original certified copy of Proof of Address

Note: In the case of joint investors, the above documentation must be submitted in respect of both/all individuals

#### **Non FATF/Non GAFI <sup>3</sup> Retail (Individual or Joint) Investors also need:**

- Original or original certified bank statements in the name of the investor

Note: The bank statement must be in respect of the account from which the investor will send the subscription monies

#### **Corporate**

- Original or original certified copy of the Certificate of Incorporation (and any change of name)
- Original or original certified copy of the memorandum & articles of association (or equivalent)
- List of directors and proof of identity for two of the Directors (if different to >10% beneficial owners of the entity)
- An official list of all shareholders (e.g. a certified extract of the share register)
- Proof of Identification and proof of address of shareholders holding in excess of 10% of the issued share capital (on a look-through basis)
- A certified copy of the corporation's authorised signatories list
- An original beneficial ownership declaration signed by these ultimate beneficial owners (over 10%) including the confirmation of the origin of the funds
- A simple copy or a print-out from the company's website of the latest audited financial report or equivalent

Non FATF/Non GAFI Corporate Investors may also be required to provide additional supporting documentation and should contact the Administrator for further information on same.

#### **Partnerships**

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<sup>3</sup> The Equivalent Countries list is issued by the Minister of Justice, Equality and Defence for Ireland.

- Certified Copy of the Partnership Agreement
- Identify the General Partner or managing Member in accordance with its entity type and location or,
- Letter of Introduction from the Bank where the Partnership Account is held

Non FATF/Non GAFI Partnerships also need:

- Proof of Identity for Underlying Investors

**Trusts**

- Original or original certified copy of the Trust Deed or a List of Trustees
- Proof of Identification and Address for the Settler (person providing the funds)
- Original certified copy of the Proof of Identity of the Beneficiaries of the Trust

Where it is a Corporate Trust, provide:

- A List of Board of Governors or Board members (name, address, occupation and date of birth)
- A list of all beneficiaries holding in excess of 10% of the Issued Share Capital

**Nominees / Intermediaries:**

- Proof of Regulation
- Master Letter of Assurance

**Regulated- where applicable in respect of the above investor types:**

- Confirmation of Regulation and in which Jurisdiction
- Proof of Regulation

**The Administrator and the Company each reserves the right to request such additional information and documentation as is necessary to verify the identity, address and source of funds of an investor.**

The certification of documents must be carried out by any of the following: notary Public/Practising Solicitors; any regulated financial institution (who must be based in a FATF country); Chartered and Certified Public Accountants; Embassy/Consular staff; and Police force (National and Federal). Documents should be stamped with the official stamp of the person dated and signed by that person.

## Appendix 2

### Customer Information Notice – Common Reporting Standard

The Company 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 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Company 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.

Please note that in certain circumstances the Company 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 Company to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Company;

- 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.

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.

Applicants can obtain more information on the Company’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/EC (as applicable).

## Appendix 3

### 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 Funds, 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".***

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#### 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 <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide the sponsor's name and sponsor's <i>GIIN</i> : Sponsor's Name: _____ Sponsor's <i>GIIN</i> : _____	
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 (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 (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**)</i>	

**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 – 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</i>	
II.	<i>Active Non-Financial Entity – a Government Entity or Central Bank</i>	
III.	<i>Active Non-Financial Entity – an International Organisation</i>	



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)\*:** \_\_\_\_\_

**Appendix 4**

**Individual (Controlling Person's) 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 Funds, 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 \*)**

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### Section 1: Investor Identification

**Investor Name\*:** \_\_\_\_\_

**Current Residential Address\*:**

Number: \_\_\_\_\_

Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIPCode: \_\_\_\_\_

Country: \_\_\_\_\_

**Mailing address (if different from above):**

Number: \_\_\_\_\_

Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIPCode: \_\_\_\_\_

Country: \_\_\_\_\_

**Place and Date Of Birth\***

Town or City of Birth\*: \_\_\_\_\_ Country of Birth\*: \_\_\_\_\_

Date of Birth\*: \_\_\_\_\_

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**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.

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**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\*: \_\_\_\_\_