

## **Application Form for Subscription, Redemption or Switching of shares in RV Capital Asia Opportunity UCITS Fund**

(a sub-fund of RV Capital UCITS Fund ICAV, an umbrella Irish collective asset-management vehicle  
with segregated liability between sub-funds and variable capital (the "ICAV"))

### **How to transact?**

This document contains 10 sections. 1: Registration Details; 2: Subscription Form; 2A: Additional Form for Existing Investors; 3: Redemption Form; 4: Switching Form; 5: Dividends; 6: Representations and Warranties; 7: Anti- Money Laundering Notice; 8: Distance Marketing Notice; 9: Benefit Plan Investors; 10: Signatures

- A) For subscription applications, please complete sections 1,2,5,7 and 10 in full and, where applicable, section 9 and appendices A to H and send the entire form to the Administrator.
- B) For redemptions, please complete section 3 only.
- C) For switching between Shares, please complete section 4.

Unless defined elsewhere in this Application Form, all capitalised terms used shall have the meaning given to them in the prospectus of the ICAV and the supplement of RV Capital Asia Opportunity UCITS Fund (the "**Fund**"), as may be amended from time to time (collectively the "**Prospectus**").

### **The Administrator**

The Administrator is SS&C Financial Services (Ireland) Limited.

Please email the duly completed and signed Application Form, together with the appropriate client identification documentation, to:

RV Capital UCITS Fund ICAV  
c/o SS&C Financial Services (Ireland) Limited  
Bishop's Square  
Redmond's Hill  
Dublin  
D02 TD99

Tel: +353 1 514 9620  
Email: [RVCapitalUCITS.IR@sscinc.com](mailto:RVCapitalUCITS.IR@sscinc.com) and  
[subscriptions@rvcapital.com](mailto:subscriptions@rvcapital.com)

**FAILURE TO SEND THE APPLICATION FORM AND SUPPORTING DOCUMENTATION WILL DELAY THE PAYMENT OF REDEMPTION PROCEEDS (AND DIVIDENDS, IF APPLICABLE) AND WILL RESULT IN THE ICAV BEING TREATED BY THE IRISH REVENUE COMMISSIONERS AS NOT HAVING RECEIVED A VALID DECLARATION. FOR FIRST TIME INVESTORS, THE FINAL ALLOCATION OF SHARES WILL NOT BE CONFIRMED UNTIL THE APPROPRIATE CLIENT IDENTIFICATION DOCUMENTATION HAVE BEEN RECEIVED BY THE ADMINISTRATOR.**

Please ensure that you have read the Prospectus and the key investor information document ("KIID") and packaged retail and insurance-based investment products key information document ("PRIIPs KID") (if relevant) before completing this Application Form. The KIID and the PRIIPs KID are available in respect of each sub-fund of the ICAV on the website of the Investment Manager at [www.rvcapital.com/ucits](http://www.rvcapital.com/ucits).

---

---

**Section 1 – Registration Details**

---

---

<p>Registered Name #1</p> <hr/> <p>Tax ID Number*</p>
<p>Registered Name #3 (Joint applications only)</p> <hr/> <p>Tax ID Number*</p>
<p>Registered Address. A physical street address is required. A PO Box will not be accepted.</p>
<p>Telephone</p>
<p>E-mail</p>

<p>Registered Name #2 (Joint applications only)</p> <hr/> <p>Tax ID Number*</p>
<p>Registered Name #4 (Joint applications only)</p> <hr/> <p>Tax ID Number* _____</p>
<p>Mailing Address, if different to Registered Address</p>
<p>Country of registration</p>

In the case of individuals or joint applicants, full name(s) must be given. A maximum of four persons may be joint holders of Shares. If there are more than four, a separate Application Form should be completed. Applicants must be over 18 years of age. In the case of corporate application, full title of the corporation, its registered office, name and designation of signatory must be provided. In the case of a partnership / firm (not a limited company) applications should be in the name(s) of and signed by all partners / proprietor(s).

**Section 2 – Subscription Form**

I/We enclose the following amount payable to the ICAV by wire transfer for investment in the following Classes of the Fund pursuant to the terms and conditions of the Prospectus as may be amended from time to time.

Date of application\* \_\_\_\_\_ Amount \_\_\_\_\_

\*The applicant is applying to subscribe in respect of the next Subscription Day, which is permitted by the Prospectus after the date of this application, provided always that this application is received no later than the relevant Dealing Deadline. Applications received after such times will generally be deemed to have been received for the next relevant Subscription Day.

**The conversion from the designated currency of the relevant Class to the Base Currency of the Fund shall be effected as follows:**

**With respect to subscriptions/redemptions to/from the Institutional GBP Hedged Class on a subscription/redemption day, the conversion shall be effected in the market at 11:00am Tokyo time (10.00am Singapore time) on such subscription/redemption day. The actual transaction rate, as dealt with a market counterparty, shall be used for the GBP/USD conversion. For reference, the Reuters page TKFE2 can be referred to for the GBP/USD rate snapshot at this time. It is to be noted that the rate snapshot on the TKFE2 Reuters page can differ from the actual conversion rate.**

**With respect to subscriptions/redemptions to/from the Institutional EUR Hedged Class on a subscription/redemption day, the conversion shall be effected in the market at 11:00am Tokyo time (10.00am Singapore time) on such Subscription/Redemption Day. The actual transaction rate, as dealt with a market counterparty, shall be used for the EUR/USD conversion. For reference, the Reuters page TKFE2 can be referred to for the EUR/USD rate snapshot at this time. It is to be noted that the rate snapshot on the TKFE2 Reuters page can differ from the actual conversion rate.**

I/We, having received and read a copy of the Prospectus, Instrument of Incorporation, the KIID and the PRIIPs KID (if relevant) wish to invest in Shares in the Fund as indicated in the table below.

**Please indicate on the below grid which Class you wish to subscribe by entering an "X" in the right-hand side column.**

Class	Currency	Accumulating / Distributing	ISIN	Select Class
A-USD	USD	Non-Distributing	IE00BF6SX250	
A-EUR	EUR	Non-Distributing	IE00BF6SWF13	
A-GBP	GBP	Non-Distributing	IE00BF6SWG20	
A-JPY	JPY	Non-Distributing	IE00BYZ0RX47	
A-SEK	SEK	Non-Distributing	IE00BYZ0RY53	
B-USD	USD	Non-Distributing	IE00BF6SWH37	
B-EUR	EUR	Non-Distributing	IE00BF6SWJ50	
B-GBP	GBP	Non-Distributing	IE00BF6SWK65	

B-JPY	JPY	Non-Distributing	IE00BYZ0RZ60	
B-SEK	SEK	Non-Distributing	IE00BYZ0S084	
C-USD	USD	Non-Distributing	IE000XNBP670	
C-EUR	EUR	Non-Distributing	IE000XGX6YE4	
C-GBP	GBP	Non-Distributing	IE0000BZYYB1	
D-USD	USD	Non-Distributing	IE000PBIXPR1	
D-EUR	EUR	Non-Distributing	IE000B8T2YK3	
D-GBP	GBP	Non-Distributing	IE000AZD71V8	
E-USD	USD	Non-Distributing	IE0005QO8GB7	
E-EUR	EUR	Non-Distributing	IE000HECBF95	
E-GBP	GBP	Non-Distributing	IE00038G0NG9	

**Purpose of investment - Please indicate as appropriate. Please disclose the purpose and intended nature of your investment in the Fund by circling one of (a) to (e):**

- (a) Lump sum investment – more than one year
- (b) Lump sum investment – less than one year
- (c) Regular savings
- (d) Periodic investment
- (e) Other; please detail \_\_\_\_\_

#### **I. Bank Account Information for Subscriptions**

Cleared subscription monies should be paid to the ICAV's bank no later than the time specified in Supplement as follows:

##### **EUR (EURO)**

**Intermediary Bank:** Standard Chartered Bank AG  
**Intermediary bank SWIFT:** SCBLDEFXXX  
**Intermediary account number:** 018510407  
 IBAN DE97512305000018510407

**Beneficiary bank:** Standard Chartered Bank (Singapore) Limited  
**Beneficiary bank SWIFT:** SCBLSG22XXX  
**Beneficiary account number:** 0101077432  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA OPPORTUNITY UCITS FUND (COLLECTN AC)

**GBP (BRITISH POUND)**

**Intermediary Bank:** Standard Chartered Bank London  
**Intermediary bank SWIFT:** SCBLGB2LXXX  
**Intermediary account number:** 05267148401  
IBAN GB19SCBL60910452671484  
SORT CODE : 609104

**Beneficiary bank:** Standard Chartered Bank (Singapore) Limited  
**Beneficiary bank SWIFT:** SCBLSG22XXX  
**Beneficiary account number:** 0101077475  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA  
OPPORTUNITY UCITS FUND (COLLECTN AC)

**JPY (JAPANESE YEN)**

**Intermediary Bank:** Standard Chartered Bank Tokyo  
**Intermediary bank SWIFT:** SCBLJPJTXXX  
**Intermediary account number:** 23747221110

**Beneficiary bank:** Standard Chartered Bank (Singapore) Limited  
**Beneficiary bank SWIFT:** SCBLSG22XXX  
**Beneficiary account number:** 0101077386  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA  
OPPORTUNITY UCITS FUND (COLLECTN AC)

**SEK (SWEDISH KRONA)**

**Intermediary Bank:** Nordea Bank AB (publ) Stockholm  
**Intermediary bank SWIFT:** NDEASESS  
**Intermediary account number:** SE8530000000039527709067

**Beneficiary bank:** Standard Chartered Bank, London  
**Beneficiary bank SWIFT:** SCBLGB2L

**Beneficiary account number:** SEK-01278150696  
IBAN GB13SCBL60910412781506

**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA  
OPPORTUNITY UCITS FUND

**USD (US DOLLAR)**

**Intermediary Bank:** Standard Chartered Bank New York  
**Intermediary bank SWIFT:** SCBLUS33XXX  
**Intermediary account number:** 3582-026967-001 ABA Number 026002561

**Beneficiary bank:** Standard Chartered Bank (Singapore) Limited  
**Beneficiary bank SWIFT:** SCBLSG22XXX  
**Beneficiary account number:** 0101077483  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA  
OPPORTUNITY UCITS FUND(COLLECTN AC)

II. Wiring Bank

In addition, to comply with applicable anti-money laundering/U.S. Treasury Department's Office of Foreign Asset Control ("**OFAC**") rules and regulations, the subscriber(s) is/are required to provide the following information:

(1)	Name of bank from which the subscriber's payment to the Fund will be wired (" <b>Wiring Bank</b> "):  _____	
(2)	Is the Wiring Bank located in the U.S. or another country that is a member of the Financial Action Task Force?	Yes <input type="checkbox"/> No <input type="checkbox"/> (please tick)
(3)	If the answer to 2 above is "Yes", is the subscriber a customer of the Wiring Bank?	Yes <input type="checkbox"/> No <input type="checkbox"/> (please tick)

Subscriber's Bank Account Details (for redemption payment and payment of dividends)

(as the case may be)

Intermediary Bank SWIFT: \_\_\_\_\_

Beneficiary Bank Account No.: \_\_\_\_\_

Beneficiary Bank Name: \_\_\_\_\_

Beneficiary Bank SWIFT: \_\_\_\_\_

Ultimate Beneficiary Account Name: \_\_\_\_\_

Ultimate Beneficiary Account/IBAN: \_\_\_\_\_

**In order to protect investors from fraud, subscription monies should be wired out from a bank account under the name of the subscriber. Redemption monies / distribution amounts (if any) will only be wired out from the ICAV's bank to the bank account under the name of the subscriber described above, unless otherwise agreed with the ICAV and the Administrator. No third-party payments will be permitted.**

**For joint subscribers, until further notice in writing, the Directors, the Manager and Administrator are authorised to rely upon and act in accordance with the instructions, communications and requests and to deal with instruments purporting to be made, drawn, accepted, endorsed or given by post or electronically from:**

any of the joint subscribers (the joint subscribers hereby undertake that any actions taken pursuant to the application of the terms of this Application Form, instructions, communications, requests and instruments purporting to be made, drawn, accepted, endorsed or given by any one joint subscriber is binding on each of the other joint subscriber(s) and any such subscriber shall have full authority to receive any demands, notices, statements, payments and other communications for and on behalf of the other joint subscriber(s)); \*or

all of the joint subscribers. \*

**\* Tick whichever box is applicable. Where no indication is made, all of the joint subscribers will be required to sign any instructions.**

**AUTHORISATION:**

All investing entities other than individuals should provide a certified authorised signatory list

	<b>Authorised Person 1</b>	<b>Authorised Person 2</b>
<b>Signature:</b>		
<b>PRINT Name:</b>		
<b>DATE</b>		

---

**Section 2A**  
**RV Capital Asia Opportunity UCITS Fund**  
**Additional Subscription Form for Existing Investors**

Please email the duly completed and signed materials to:

RV Capital UCITS Fund ICAV  
c/o SS&C Financial Services (Ireland) Limited  
Bishop's Square  
Redmond's Hill  
Dublin  
D02 TD99  
Tel: + 353 1 514 9620  
Email: [RVCapitalUCITS.IR@sscinc.com](mailto:RVCapitalUCITS.IR@sscinc.com) and  
[subscriptions@rvcapital.com](mailto:subscriptions@rvcapital.com)

***For the avoidance of doubt, unless otherwise defined in this additional subscription form (the "Additional Subscription Form"), all capitalised terms used in this Additional Subscription Form have the meanings ascribed to them or as used or adopted in the subscriber's (the "Subscriber") Application Form, previously executed by the Subscriber and accepted by RV Capital Asia Opportunity UCITS Fund (the "Fund").***

Dear Sir/Madam:

Shareholder Name: \_\_\_\_\_  
Shareholder ID: \_\_\_\_\_

The undersigned hereby wishes to make an additional subscription for Shares ("**Additional Subscription**") in the Fund.

Date of application\* \_\_\_\_\_ Amount \_\_\_\_\_

\*The applicant is applying to subscribe in respect of the next Subscription Day, which is permitted by the Prospectus after the date of this application, provided always that this application is received no later than the relevant Dealing Deadline. Applications received after such times will generally be deemed to have been received for the next relevant Subscription Day.

**The conversion from the designated currency of the relevant Class to the Base Currency of the Fund shall be effected as described in Section 2 above.**

Please indicate on the below grid which Class you wish to subscribe by entering an "X" in the right hand side column:

<b>Class</b>	<b>Currency</b>	<b>Accumulating / Distributing</b>	<b>ISIN</b>	<b>Select Class</b>
Institutional EUR Hedged	Euro	Non-Distributing	IE00BD08N271	
Institutional GBP Hedged	GBP	Non-Distributing	IE00BD08N495	
Institutional USD	USD	Non-Distributing	IE00BD08N388	
A-USD	USD	Non-Distributing	IE00BF6SX250	
A-EUR	EUR	Non-Distributing	IE00BF6SWF13	
A-GBP	GBP	Non-Distributing	IE00BF6SWG20	
A-JPY	JPY	Non-Distributing	IE00BYZ0RX47	
A-SEK	SEK	Non-Distributing	IE00BYZ0RY53	
B-USD	USD	Non-Distributing	IE00BF6SWH37	
B-EUR	EUR	Non-Distributing	IE00BF6SWJ50	
B-GBP	GBP	Non-Distributing	IE00BF6SWK65	
B-JPY	JPY	Non-Distributing	IE00BYZ0RZ60	
B-SEK	SEK	Non-Distributing	IE00BYZ0S084	
C-USD	USD	Non-Distributing	IE000XNBP670	
C-EUR	EUR	Non-Distributing	IE000XGX6YE4	
C-GBP	GBP	Non-Distributing	IE0000BZYYB1	
D-USD	USD	Non-Distributing	IE000PBIXPR1	
D-EUR	EUR	Non-Distributing	IE000B8T2YK3	
D-GBP	GBP	Non-Distributing	IE000AZD71V8	
E-USD	USD	Non-Distributing	IE0005QO8GB7	
E-EUR	EUR	Non-Distributing	IE000HECBF95	
E-GBP	GBP	Non-Distributing	IE00038G0NG9	

The Subscriber acknowledges and agrees: (i) that the Subscriber is making the Additional Subscription on the terms and conditions contained in the Subscriber's Application Form, the KIID, the PRIIPs KID (if relevant) and the current Prospectus, as the same may be amended, supplemented, modified varied or replaced from time to time; (ii) that the Subscriber has reviewed the Prospectus and that the Additional Subscription is also subject to all of the terms and conditions contained in the Prospectus; (iii) that the acknowledgements, consents, representations, warranties, undertakings and covenants of the Subscriber contained in the Application Form are true and correct in all material respects as of the date set forth below; (iv) that the information provided in the Application Form is correct as of the date set forth below; (v) that the background information provided to the Administrator is true and correct in all material respects as of the date set forth below; and (vi) that the Additional Subscription is subject to acceptance by the ICAV.

The Subscriber will wire the subscription amount for the Additional Subscription to the Administrator on

The Subscriber acknowledges that the payment of subscription monies, as well as this Additional Subscription Form, identity verification documents and any supporting documentation required with regards to anti-money laundering ("**AML**"), anti-corruption and the prevention of the financing of terrorism and/or anti-tax evasion matters and the Additional Subscription must be received by the Administrator by the relevant Dealing Deadline or such other day and/or time as the Directors may designate from time to time either generally or in any particular case.

The Subscriber also confirms that all other information, acknowledgments, consents, representations, warranties, undertakings and covenants provided with respect to the Subscriber's initial investment in the Fund, including but not restricted to registration and contact details noted on the Application Form and any documentation supplied pursuant to Section 7 – Anti-Money Laundering Notice, are still current and valid. The Subscriber agrees to notify the ICAV and/or the Administrator promptly if any aspect thereof becomes untrue, outdated or invalid.

## **WIRING INSTRUCTIONS**

### **I. Bank Account Information for Subscriptions**

Cleared subscription monies should be paid to the ICAV's bank no later than the time specified in Supplement as follows:

#### **EUR (EURO)**

<b>Intermediary Bank:</b>	Standard Chartered Bank AG
<b>Intermediary bank SWIFT:</b>	SCBLDEFXXX
<b>Intermediary account number:</b>	018510407 IBAN DE97512305000018510407
<b>Beneficiary bank:</b>	Standard Chartered Bank (Singapore) Limited
<b>Beneficiary bank SWIFT:</b>	SCBLSG22XXX
<b>Beneficiary account number:</b>	0101077432
<b>Beneficiary account name:</b>	RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA OPPORTUNITY UCITS FUND (COLLECTN AC)

#### **GBP (BRITISH POUND)**

<b>Intermediary Bank:</b>	Standard Chartered Bank London
<b>Intermediary bank SWIFT:</b>	SCBLGB2LXXX
<b>Intermediary account number:</b>	05267148401 IBAN GB19SCBL60910452671484 SORT CODE : 609104
<b>Beneficiary bank:</b>	Standard Chartered Bank (Singapore) Limited
<b>Beneficiary bank SWIFT:</b>	SCBLSG22XXX
<b>Beneficiary account number:</b>	0101077475
<b>Beneficiary account name:</b>	RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA OPPORTUNITY UCITS FUND(COLLECTN AC)

#### **JPY (JAPANESE YEN)**

<b>Intermediary Bank:</b>	Standard Chartered Bank Tokyo
<b>Intermediary bank SWIFT:</b>	SCBLJPJTXXX
<b>Intermediary account number:</b>	23747221110
<b>Beneficiary bank:</b>	Standard Chartered Bank (Singapore) Limited
<b>Beneficiary bank SWIFT:</b>	SCBLSG22XXX

**Beneficiary account number:** 0101077386  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA OPPORTUNITY UCITS FUND(COLLECTN AC)

**USD (US DOLLAR)**

**Intermediary Bank:** Standard Chartered Bank New York  
**Intermediary bank SWIFT:** SCBLUS33XXX  
**Intermediary account number:** 3582-026967-001 ABA Number 026002561

**Beneficiary bank:** Standard Chartered Bank (Singapore) Limited  
**Beneficiary bank SWIFT:** SCBLSG22XXX  
**Beneficiary account number:** 0101077483  
**Beneficiary account name:** RV CAPITAL UCITS FUND ICAV - RV CAPITAL ASIA OPPORTUNITY UCITS FUND(COLLECTN AC)

II. Wiring Bank

In addition, to comply with applicable AML/U.S. Treasury Department's Office of Foreign Asset Control ("**OFAC**") rules and regulations, the Subscriber(s) is/are required to provide the following information:

(1)	Name of bank from which the Subscriber's payment to the Fund will be wired (" <b>Wiring Bank</b> "):  _____
(2)	Is the Wiring Bank located in the U.S. or another country that is a member of the Financial Action Task Force?  Yes <input type="checkbox"/> No <input type="checkbox"/> (please tick)
(3)	If the answer to 2 above is "Yes", is the Subscriber a customer of the Wiring Bank?  Yes <input type="checkbox"/> No <input type="checkbox"/> (please tick)

**In order to protect investors from fraud, subscription monies should be wired out from a bank account under the name of the Subscriber. Redemption monies / distribution amounts (if any) will only be wired out from the ICAV's bank to the bank account under the name of the**

**Subscriber described above, unless otherwise agreed with the ICAV and the Administrator. No third-party payments will be permitted.**

**AUTHORISATION:**

All investing entities other than individuals should provide a certified authorised signatory list

	<b>Authorised Person 1</b>	<b>Authorised Person 2</b>
<b>Signature:</b>		
<b>PRINT Name:</b>		
<b>DATE</b>		

**Section 3**  
**RV Capital Asia Opportunity UCITS Fund**  
**Redemption Form**

Please email the duly completed and signed Redemption Form to:

RV Capital UCITS Fund ICAV  
c/o SS&C Financial Services (Ireland) Limited  
Bishop's Square  
Redmond's Hill  
Dublin  
D02 TD99

Tel: +353 1 514 9620

Email: [RVCapitalUCITS.IR@sscinc.com](mailto:RVCapitalUCITS.IR@sscinc.com) and [subscriptions@rvcapital.com](mailto:subscriptions@rvcapital.com)

***For the avoidance of doubt, unless otherwise defined in this Redemption Form, all capitalised terms used in this Redemption Form have the meanings ascribed to them or as used or adopted in the subscriber's (the "Subscriber") Application Form, previously executed by the Subscriber and accepted by RV Capital Asia Opportunity UCITS Fund (the "Fund").***

**No redemption payment or transfer of Shares may be made to a Shareholder until the Application Form and all documentation required by the Administrator, including any AML documentation, have been completed, sent to and received by the Administrator and all of the necessary AML checks have been completed.**

Please see the Prospectus for full details of how to apply for a redemption of shares (if applicable).

**A) INVESTOR**

<b>Shareholder/Client Name:</b>		
<b>Account Number:</b>		

**B) TRADE DETAILS.**

Requested Trade Date: dd/mm/yy

<b>Class</b>	<b>Currency</b>	<b>Monetary Amount*</b>	<b>Number of Shares*</b>
Institutional EUR Hedged	<b>EUR</b>		
Institutional GBP Hedged	<b>GBP</b>		
Institutional USD	<b>USD</b>		
A-USD	<b>USD</b>		
A-EUR	<b>EUR</b>		
A-GBP	<b>GBP</b>		
A-JPY	<b>JPY</b>		
A-SEK	<b>SEK</b>		
B-USD	<b>USD</b>		
B-EUR	<b>EUR</b>		
B-GBP	<b>GBP</b>		
B-JPY	<b>JPY</b>		
B-SEK	<b>SEK</b>		
C-USD	<b>USD</b>		
C-EUR	<b>EUR</b>		
C-GBP	<b>GBP</b>		
D-USD	<b>USD</b>		
D-EUR	<b>EUR</b>		
D-GBP	<b>GBP</b>		
E-USD	<b>USD</b>		
E-EUR	<b>EUR</b>		
E-GBP	<b>GBP</b>		

\*Please insert either the monetary amount or the number of Shares which you wish to redeem.

**C) PAYMENT DETAILS**

Payments will be made by default to the details provided at the time of registration. If these details have changed, please complete the following and contact the Administrator.

<b>Intermediary Bank Name</b>	
Intermediary Bank SWIFT:	
Beneficiary Bank A/c No. at Intermediary	
Beneficiary Bank Name:	
Beneficiary Bank SWIFT / Routing Code:	
Ultimate Beneficiary Account Name:	
Ultimate Beneficiary Account/IBAN:	
If required: Reference/Payment Details	

**D) AUTHORISATION**

These signatures will be cross-referenced to your Application Form and/or authorised signatory list on file with the Administrator. Please contact the Administrator if there has been any change.

	<b>Authorised Person 1</b>	<b>Authorised Person 2</b>
<b>Signature:</b>		
<b>Print Name:</b>		
<b>Date</b>		

**Section 4**  
**RV Capital Asia Opportunity UCITS Fund**  
**Switching Form**

Please email the duly completed and signed Switching Form to:

RV Capital UCITS Fund ICAV  
c/o SS&C Financial Services (Ireland) Limited  
Bishop's Square  
Redmond's Hill  
Dublin  
D02 TD99  
Tel: +353 1 514 9620

Email: [RVCapitalUCITS.IR@sscinc.com](mailto:RVCapitalUCITS.IR@sscinc.com) and [subscriptions@rvcapital.com](mailto:subscriptions@rvcapital.com)

***This form is for Shareholders wishing to switch between Classes ("Switching Form") and must be received by the Dealing Deadline. For the avoidance of doubt, unless otherwise defined in this Switching Form, all capitalised terms used in this Switching Form have the meanings ascribed to them or as used or adopted in the subscriber's (the "Subscriber") Application Form, previously executed by the Subscriber and accepted by RV Capital Asia Opportunity UCITS Fund (the "Fund").***

Switches will not be processed on non-cleared/verified accounts.

<b>Shareholder/ Client Name:</b>	
<b>Account Number:</b>	

Please see the Prospectus and the Supplement for full details of how to apply for a switching of Shares.

Redemption proceeds from the Shares you currently hold will be converted into the currency of the other Class you wish to invest in at the rate of exchange provided by the Administrator and the cost of conversion will be deducted from the amount applied in subscribing for Shares of that other Class you wish to invest in.

I/We, having received and read a copy of the Prospectus, the Supplement, the KIIDs, the PRIIPs KID (if relevant) and the Instrument of Incorporation, wish to exchange Shares in the Class currently held by me/us by simultaneously redeeming such Shares and subscribing for Shares in a different Class/es, as follows:

Switch <b>from</b> Class	ISIN	No. of Shares (Figure and Words)	(for entire holdings please tick box)
--------------------------	------	-------------------------------------	--

_____	_____	_____	<input type="checkbox"/>
<b>Into Class</b>	ISIN		
_____	_____	_____	

For ease of reference, the following Classes exist in the Fund for switching:

Class	Currency
Institutional EUR Hedged	EUR
Institutional GBP Hedged	GBP
Institutional USD	USD
A-USD	USD
A-EUR	EUR
A-GBP	GBP
A-JPY	JPY
A-SEK	SEK

B-USD	USD
B-EUR	EUR
B-GBP	GBP
B-JPY	JPY
B-SEK	SEK
C-USD	USD
C-EUR	EUR
C-GBP	GBP
D-USD	USD
D-EUR	EUR
D-GBP	GBP
E-USD	USD
E-EUR	EUR
E-GBP	GBP

I/we acknowledge and agree that if all of the relevant AML information and tax information requested under Application Form has not been supplied to the Administrator, that my/our shareholding will be redeemed but that the related monies will be held by the Administrator until such documentation requested has been supplied.

	Authorised Person 1	Authorised Person 2
<b>Signature:</b>		
<b>PRINT Name:</b>		
<b>Date</b>		

---

**Section 5 – Dividends**

---

**Dividends**

I/We acknowledge that dividends declared on the Institutional EUR Hedged, Institutional USD and Institutional GBP Hedged Classes will be reinvested into the Fund on the date that the dividend is paid in accordance with the Prospectus.

If you want the dividend to be paid out to you in accordance with the provisions of the Supplement please tick the box:

Dividends paid by wire transfer will be paid to the account details provided at the time of registration. If these details have changed, please complete the following and contact the Administrator.

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN:		
Swift Code		Reference Code:

**NOTE: NO THIRD-PARTY PAYMENTS WILL BE UNDERTAKEN.**

---

## SECTION 6 – Representations and Warranties

---

This Application Form is for the Fund and should be read in conjunction with the Prospectus, the Instrument of Incorporation, the KIID and the PRIIPs KID (if relevant). All capitalised terms herein have the meanings assigned to them in the Prospectus. Neither the Prospectus nor this Application Form constitute an offer or solicitation to anyone in any state of the United States or in any other jurisdiction in which such offer or solicitation is not authorised.

Please remember that past performance is not necessarily a guide to future performance. The price of Shares and the income generated within the Fund may go down as well as up and you may not get back the amount you invested. All applications for Shares must be received by the Administrator no later than the relevant Dealing Deadline as specified in the Supplement. Cleared subscription monies must be received by the Administrator, for the account of the Fund, by no later than the time specified in the Supplement. Shares in the ICAV are issued in registered form. Proof of title is evidenced by reference to the register. Share certificates are not issued.

I/We ('the Applicant(s)') confirm to the ICAV and the Manager and the Investment Manager as follows:

1. I/We agree that the confirmations, declarations, representations and warranties given in this Application Form are given on a continuing basis. I/We agree to indemnify the Administrator, on its own behalf and as agent of the ICAV and agree to keep the Administrator, the Depositary, the ICAV, the Manager and the Investment Manager indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
2. I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, and that I/we am/are not acting on behalf of a US Person(s), nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person.
3. I/We warrant that I/we have the right and authority to make the investment pursuant to this Application Form, whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby agree to indemnify the ICAV, the Manager, Investment Manager, , the Depositary, the Administrator and any investment advisor, distributor , prime broker and/or sub-custodian and other Shareholders for any loss suffered by them directly or indirectly as a result of this warranty/representation not being true in every respect.
4. I/We hereby confirm that the ICAV, the Directors, the Manager, Investment Manager, the Administrator and any distributor are each authorised and instructed to accept, process (in the case of the Administrator) and execute any subsequent instructions in respect of the Shares to which this application relates given by me/us in written form or by electronic means. I/We hereby indemnify the ICAV, the Directors, the Manager, Investment Manager, the Depositary, the Administrator and any investment advisor, distributor, prime broker and/or sub-custodian and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting on my/our instructions. The ICAV, the Directors, the Manager, Investment Manager, the Depositary, the Administrator and any investment advisor, distributor, prime broker and/or sub-custodian may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/We hereby indemnify the ICAV, the Manager, Investment Manager, the Depositary, the Administrator and any distributor, prime broker and/or sub-custodian and the Shareholders for any loss suffered by it or them as a result of I/We holding Shares in contravention of the investment restrictions set out in the Prospectus or, by virtue of my/our holding, being in breach of the laws and regulations of any competent jurisdiction or if such holding could, in the opinion of the Directors, cause the ICAV or any Shareholder to incur any liability to taxation or to suffer any pecuniary disadvantage which any or all of them might not otherwise have incurred or sustained or otherwise in circumstances which the Directors believe might be prejudicial to the interests of the Shareholders.
5. I/We hereby acknowledge that I/we have received and read the current Prospectus, Instrument of Incorporation and KIID and PRIIPs KID (if relevant), each as may be amended from time to time, and, where applicable, the most recent annual report of the ICAV. I/We acknowledge that the KIID and PRIIPs KID have been made available in electronic form on the website of the Investment Manager at [www.rvcapital.com/ucits](http://www.rvcapital.com/ucits). I/We consent to its receipt in that form and understand that a copy of the KIID/PRIIPs is available in paper form, free of charge, upon request
6. I/We, having considered the terms of the Prospectus current at the date of this subscription, hereby

confirm that this application is based solely on the Prospectus, the Instrument of Incorporation and material contracts referred to therein, the KIID and the PRIIPs KID (if relevant), together with the most recent annual report and accounts of the ICAV and the Fund. I/We hereby undertake to observe and be bound by the provisions of the Prospectus and the Instrument of Incorporation and apply to be entered in the register of Shareholders as the holder/holders of the Shares issued in relation to this application. I/We, request and authorize the ICAV to act in accordance with my/our instructions.

7. I/We authorise the intermediary/ introductory agent named in this Application Form to give instructions relating to the conversion of any portion of my/our shareholding between the Shares in ICAV on my/our behalf and to give redemption instructions to the Administrator. I/We acknowledge that, in the case of redemption instructions given by such intermediary, redemption proceeds are payable only to the bank account, the details of which are set out in section 3 of this Application Form. I/We hereby confirm that we will ensure that a certified list of authorised signatories of the intermediary accompanies this Application Form (**delete if not applicable**).
8. I/We hereby acknowledge that I/we have read and fully considered and understand the Prospectus and the Instrument of Incorporation in connection with this application for Shares in the Fund and that I/we have evaluated my/our investment in the Fund in the light of my/our financial condition and resources. I/We confirm that I/we am/are aware of the risks involved in investing in the Fund and that an inherent risk in this investment is the potential to lose all of my/our investment. I/We hereby further acknowledge that I/we am/are applying for Shares on the basis of the Instrument of Incorporation, the Prospectus, the KIIDs and the PRIIPs KID (if relevant) and that I/we have not relied on any representations or statements made or information provided by or on behalf of the ICAV other than information contained in the Instrument of Incorporation, the Prospectus, the KIIDs and the PRIIPs KID (if relevant).
9. I/We agree to provide these confirmations to the ICAV at such times as the ICAV may request, and to provide on request such certifications, documents or other evidence as the ICAV may reasonably require to substantiate such representations.
10. I/We agree to notify the ICAV and the Administrator immediately if I/we become aware that any of the confirmations, declarations or warrants given by me/us in this Application Form are no longer accurate and complete in all respects and agree immediately to take such action as the ICAV may direct, including where appropriate, redemption of my/our entire holding.
11. I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application/transfer may be accepted.
12. I/We understand that it may be difficult or even impossible for us to transfer Shares due to the lack of an active secondary market.
13. (In respect of joint Applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor of such survivor or survivors.
14. E-mail - The Applicant(s) consent(s) to the use of electronic communication or e-mail as a method of communication of any notices etc. which are required to be sent. The Applicant(s) acknowledges that: 1) it is reasonable for the ICAV, the Directors, the Manager, Investment Manager, the Depositary, the Administrator and any investment advisor, distributor, prime broker and/or sub-custodian to expect the Applicant(s) shall have access to information sent to the e-mail address supplied on page 1; 2) e-mails are susceptible to data corruption, interception, fabrication, delay, unauthorised amendment and viruses. The Applicant(s) agrees to indemnify each of the ICAV, the Directors, the Manager, Investment Manager, the Depositary, the Administrator and any investment advisor, distributor, prime broker and/or sub-custodian (if applicable) against any loss of any nature whatsoever arising to any of them as a result of the failure of the Applicant(s) to receive information sent to the e-mail address on page 1 and acknowledges that each of the ICAV, the Directors, the Manager, Investment Manager, the Depositary, the Administrator and any investment advisor, distributor, prime broker and/or sub-custodian shall not be liable for any such event or the consequences thereof in respect of any such e-mails sent.
15. I/We am/are acquiring the Shares subscribed for herein for my/our own account, for investment purposes only, and not with a view to distributing or reselling such Shares in whole or in part. I/We acknowledge that reoffers, resales or any transfer of the Shares may be made only in compliance with applicable securities laws and only with the prior authorisation of the ICAV which

may, in its discretion, decline to issue any Shares to, or register Shares in the name of, any person, and I/we will not transfer any Shares except on the books of the ICAV.

16. I / we hereby note that the ICAV is required to comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("**FATCA**") in order to receive any payments without withholding tax, and agree that I / we will:
  - (i) provide the ICAV (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA reporting; and
  - (ii) permit the ICAV to:
    - a. share such information with the US Internal Revenue Service, Irish Revenue or other relevant tax or other government authority as required by FATCA;
    - b. compel or effect the sale of the Shares or repurchase and cancel the Shares if it fails to comply with the foregoing requirement; and
    - c. make any other amendments to any other documents entered into in connection with the subscription ("**Transaction Documents**") as may be necessary to enable the ICAV to comply with FATCA.
17. I/We have completed the relevant Irish Revenue prescribed declaration at **Appendix A** or **Appendix B** and I / we will inform the ICAV if any of the information provided therein changes.
18. I/we hereby confirm that the Shares are to be purchased with funds that are from legitimate sources in connection with its regular business activities and which do not constitute: (i) the proceeds of criminal conduct or criminal property within the meaning set out in The Proceeds of Crime Law, 2008 of the Cayman Islands, and (ii) the benefits of criminal conduct within the meaning of the Corruption, Drug Trafficking and Other Serious Crimes (Confiscation of Benefits) Act 1992 of Singapore.
19. (In respect of Singapore Applicants only) I/we confirm that will at all times continue to be an (A) "accredited investor" within the meaning of the Securities and Futures Act 2001 of Singapore, and qualifies as such under one of the categories of "accredited investor" set out in the **Appendix F** or (B) an "institutional investor" within the meaning of the Securities and Futures Act 2001 of Singapore. I/we undertake to inform the Manager or Investment Manager immediately if there is any change in such status, and to provide documentary evidence and assurance of such status, including financial statements and income statements, as the Investment Manager/Manager may from time to time request.
20. (In respect of Singapore Applicants only) I/we agree to at all times comply with the transfer restrictions provided for in the Securities and Futures Act 2001 of Singapore and as set out in the Prospectus and the Instrument of Incorporation, including without limitation, the resale restrictions in relation to the Shares and (if applicable) the transfer restrictions in relation to equity or beneficial interests in the Applicant after the Applicant's subscription of the Shares.
21. I/we confirm that all the information, representations and warranties given or to be given from time to time (including the confirmations set out in the **Appendices**) are true and accurate in all respects.
22. I/we confirm that I am/we are not a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.
23. I/we agree/s that the I/we shall be required to, upon demand by the ICAV: (i) provide any form, certification or other information reasonably requested by and acceptable to the ICAV that is necessary for the ICAV: (A) to prevent withholding or qualify for a reduced rate of withholding or backup withholding in any jurisdiction from or through which the ICAV receives payments; or (B) to satisfy reporting or other obligations under the Code and the Treasury regulations promulgated thereunder; (ii) will update or replace such form, certification, or other information in accordance with its terms of subsequent amendments; and (iii) will otherwise comply with any reporting obligations imposed by the United States or any other jurisdiction, including reporting obligations that may be imposed by future legislation.
24. I/we agrees that if, and to the extent that, the ICAV is required to make any payment, withholding

or deduction as a consequence of the Applicant failing to comply in a timely manner with the requirement in the preceding representation and warranty, the ICAV shall be entitled to, at the discretion of the Directors, redeem all or a portion of the Shares and withhold the redemption proceeds payable to the Applicant in respect thereof if the ICAV and / or Fund is required under the laws of the United States or as a consequence of any agreement between the ICAV and the United States Treasury Department or similar government division or department to withhold any payments as a consequence of the Applicant failing to comply in a timely manner with the requirement in the preceding representation and warranty.

25. I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
26. I/We acknowledge the right of ICAV at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
27. I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.
28. I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
29. I/We hereby agree that this Application Form shall be governed by and construed in accordance with the laws of Ireland and the courts of Ireland shall have exclusive jurisdiction to hear and determine any proceedings and to settle any dispute which may arise out of or in connection with this Application Form. I/We accordingly submit irrevocably to the jurisdiction of the courts of Ireland. I/We irrevocably waive any objection which I/we may have now or in the future to the courts of Ireland being nominated as the forum to hear and determine any proceedings or settle any dispute and agree not to claim that the courts of Ireland are not a convenient or appropriate forum.
30. I/We declare that the information contained in the declarations completed above are true and correct.

## **DATA PRIVACY NOTICE**

In accordance with the General Data Protection Regulation (2016/679/EU) (the "**GDPR**") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018) (collectively, "**Data Protection Legislation**"), the ICAV being the data controller for the purposes of this application to subscribe for Shares in the ICAV, must provide you with information on how the personal data that you provide as part of your application to subscribe for Shares will be processed.

Where your details are provided to the ICAV as a consequence of your investment in the ICAV, then the ICAV, acting as a data controller may itself (or through a third party such as SS&C Financial Services (Ireland) Limited (the "**Administrator**") acting in its capacity as the ICAV's administrator or any of the service providers to the ICAV whose names are listed in the directory of the Prospectus) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as a data controller. In connection with this, please note the following:

### **1. Contact details**

The ICAV, as data controller, has appointed the Administrator as a data processor. The ICAV can be contacted via the Administrator at the following address:

**RV Capital UCITS Fund ICAV in respect of RV Capital Asia Opportunity UCITS Fund**

## **Administrator**

SS&C Financial Services (Ireland) Limited  
Bishop's Square  
Redmond's Hill  
Dublin  
D02 TD99  
Tel: +353 1 514 9620  
Email: [RVCapitalUCITS.IR@sscinc.com](mailto:RVCapitalUCITS.IR@sscinc.com) and [subscriptions@rvcapital.com](mailto:subscriptions@rvcapital.com)

## **2. 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 may be processed by the ICAV or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

### *Performance of the contract*

- (a) to facilitate the opening of your account with the ICAV, the management and administration of your holdings in the ICAV and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract with the ICAV, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- (b) to update and maintain records and fee calculation;
- (c) circulating periodic reports relating to the ICAV.

### *Compliance with a legal obligation*

- (a) in order to carry out anti-money laundering checks and related actions which the ICAV considers appropriate to meet any legal obligations imposed on the ICAV relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the ICAV's and the Administrator's anti-money laundering procedures;
- (b) to report tax related information to tax authorities in order to comply with a legal obligation.

### *Pursuing the legitimate interests of the ICAV including:*

- (a) in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the ICAV's and the Administrator's anti-money laundering procedures;
- (b) carrying out statistical analysis and market research;
- (c) recording, maintaining, storing and using recordings of telephone calls that you make to and receive from the ICAV, the Administrator, or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the ICAV and its affiliates' rights itself or in order to comply with any legal obligation imposed on the ICAV, (v) to pursue the ICAV's legitimate interests in relation to such matters or (vi) where the processing is in the

public interest;

- (d) to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the ICAV to improve its service delivery;
- (e) to disclose information to other third parties such as service providers of the ICAV, auditors, regulatory authorities and technology providers;
- (f) to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the ICAV will no longer process the personal data unless the ICAV can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

#### *Consent*

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes of direct marketing, the ICAV seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

### **3. Consent to Direct Marketing**

From time to time, one or more of the ICAV and/or its delegates (which may include, without limitation, the Administrator, the Investment Manager and the Depositary may send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication. You have a right not to receive such information.

If you consent to receive such information and/or marketing material, **please tick (  ) here**

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the

lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the ICAV c/o the Administrator at the address above. You also have a right object to the processing of your personal data for direct marketing purposes.

### **4. Profiling and Screening**

The ICAV and its appointed data processors engage in OFAC and politically exposed person ("PEP") screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

### **5. Disclosures to Data Processors and / or Third Parties**

The ICAV may disclose your personal information as follows:

- (a) to third parties identified in the Prospectus and to entities that are companies within the same group of companies as such third parties in order to process the data for the above mentioned purposes. These third parties will handle your information in accordance with applicable Data Protection Legislation;

- (b) to other third parties such as the auditors to the ICAV or agents of the Administrator who process the information for AML purposes or for compliance with foreign regulatory requirements; and
- (c) to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

## **6. Transfers Abroad**

The disclosure of personal information to the third parties set out above may involve the transfer of data to Singapore, Canada and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the GDPR. Such countries may not have the same data protection laws as your jurisdiction. In these circumstances, the ICAV has authorised the Administrator as its agent to put in place a contract with the relevant parties which contains the standard contractual clauses set out in the Commission Implementing Decision (EU) 2021/914 of 4 June 2021 on standard contractual clauses for the transfer of personal data to third countries pursuant to the GDPR (the "**Standard Contractual Clauses**"). Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the ICAV.

## **7. Retention period**

The ICAV and the Administrator will retain your personal information for as long as required for the ICAV or the Administrator to perform its services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the ICAV retains your personal information.

## **8. Your data protection rights**

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

- (a) You have a right of access to and the right to amend and rectify your personal data.
- (b) You have the right to have any incomplete personal data completed.
- (c) 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 ICAV infringes the GDPR.
- (d) You have a right to request that your personal information is erased (in certain specific circumstances).
- (e) You have a right to restrict processing (in certain specific circumstances).
- (f) You have a right to data portability (in certain specific circumstances).
- (g) You also have the right to object to processing where personal data is being processed for marketing purposes and also where the ICAV is processing personal data for legitimate interests.

## **9. Failure to provide personal data**

The provision by you of personal data, as outlined in the section above titled "Purposes of processing and legal basis for processing" is required for us to accept your subscription application and manage and administer your holdings in the ICAV and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided within the specified

timeframe we may be required to discontinue our business relationship with you.

**SECTION 7 – Anti-Money Laundering Notice**

**1. AML DOCUMENTATION REQUIREMENTS**

You (the “Investor”) must complete this AML supplement (“**AML Supplement**”) in order to become an Investor in the Fund. Your subscription agreement will be deemed incomplete, and you will not be deemed an Investor in the Fund, regardless of whether you have already wired funds, until all of the required documentation for your investor type is received and deemed to be in good order. A delay in providing documentation can result in delayed processing of the application and/or delayed payment of any future redemption proceeds being paid. The Fund and/or the Administrator reserve the right to request additional documentation from time to time.

Enhanced Due Diligence is required to be applied to investors who are PEPs or in any other such circumstance as the Fund or Administrator may deem. For example, the Administrator will require additional information where the investor is a PEP or, in other cases, in order to disregard the investor as a possible PEP.

**1. SECTION I - INSTRUCTIONS**

- (1) Fill in information in Sections II and III.
- (2) Identify the applicable Investor Type in Section IV and submit the required documentation for that Investor Type.
- (3) Check the appropriate box in Section V.
- (4) Date and sign the appropriate area in Section VI based on the Investor Type selected in Section IV.
- (5) Complete Declaration on own behalf or as intermediary and Ultimate Beneficial Owner Form attached as Schedule II and III, if necessary.

A properly completed and executed copy of the Application Form, completed AML Supplement, and documentation required under Section IV is to be provided to the Administrator.

**2. SECTION II: INVESTOR DETAILS (please complete either Individual or Corporate details as appropriate)**

Name of Applicant	
Registered Address	
Principal Business Address	
Occupation	
Date of Birth	

In order for the Administrator to comply with applicable AML legislation, the Administrator must be able to identify the source of funds sent to it for investment. Therefore, you must wire the payment from an account in your name. PLEASE NOTE THAT THIRD PARTY PAYMENTS WILL NOT BE ACCEPTED.

**SECTION III: WIRING BANK DETAILS (which should be the same as in the Application Form)**

Are you a Customer of the Wiring Bank below?	
Bank	
Address	
Name of Account Holder	
Account Number	

**SECTION IV: INVESTOR TYPES**

In order to comply with regulatory and industry standards, each investor is required to provide information and documentation based on his/her/its investor type. Please review the fourteen (14) Investor Types, check the box next to the Investor Type that best describes the investor, and provide the required documentation for your investor type to the Administrator at the time of subscription. **For Individuals or Entities who are not residents of, or incorporated in, an Equivalent Country (as defined below), all copies must be certified by a suitable certifier and the original certified documents must be sent to the Administrator. The documents should be addressed to, Investor Relations Department, SS&C Financial Services (Ireland) Limited, Bishop’s Square, Redmond’s Hill, Dublin D02TD99, Ireland. Failure to provide the required documentation can result in a delay in processing your subscription.**

<b>1</b>	<b>INDIVIDUALS (or each joint investor)</b>
	A copy of a valid passport (or national identity card, driver license, or government-issued identification with photograph)
	Proof of current residential address dated within the last 6 months (which must match the address given for subscription) via an original or certified copy of recent bank statement or utility bill (mobile phone bills are not acceptable)
	IF from a Non-Equivalent Country, please also provide:
	Certified copies of the above documents. One additional proof of residential address dated within the last 6 months (which must match the address given for subscription) via an original or certified copy of a recent bank statement or utility bill (mobile phone bills are not acceptable)
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
<b>2</b>	<b>DESIGNATED PERSONS INVESTING ON ITS OWN BEHALF</b>
	Proof that entity is regulated for AML purposes in an Equivalent Country (Evidence from regulatory website dated within 3 months)
	Signed own behalf investment declaration is required from the investor if not included in the subscription document
	Ultimate Beneficial Owner (" <b>UBO</b> ") register extract (if applicable)
	Verification of the UBO or Senior Managing Officials detailed in the UBO register through reputable public sources e.g. company website, annual report, reputable news reports or other government registers.
	Copy of Authorized Signatory List
<b>3</b>	<b>DESIGNATED PERSONS INVESTING ON BEHALF OF THIRD PARTIES</b>
	Proof that entity is regulated for AML purposes in an Equivalent Country (Evidence from regulatory website dated within 3 months)
	Signed declaration confirming investment is being made on behalf of a third party if not included in the subscription document.
	Ultimate beneficial ownership declaration
	UBO register extract (if applicable)
	Verification of the UBO or Senior Managing Officials detailed in the UBO register through reputable public sources e.g. company website, annual report, reputable news reports or other government registers.
	AML Letter from the regulated institution
	Copy of Authorized Signatory List
<b>4</b>	<b>NOMINEES &amp; INTERMEDIARIES</b>
	Where the Nominee Company is a wholly owned subsidiary of a regulated parent entity (in an Equivalent Country):
	Proof of regulation for the parent entity.
	Ultimate beneficial ownership declaration
	UBO register extract (if applicable)

	Verification of the UBO or Senior Managing Officials detailed in the UBO register through reputable public sources e.g. company website, annual report, reputable news reports or other government registers.
	AML Letter from the regulated parent entity
<b>5</b>	<b>LISTED COMPANIES</b>
	Copy of Authorized Signatory List
	Confirmation that company is listed on a stock exchange in an equivalent country (Evidence from Stock Exchange website dated within 3 months)
<b>6</b>	<b>PRIVATE COMPANIES</b>
	Copy of Certificate of Incorporation or equivalent
	Copy of the Memorandum and Articles of Association or equivalent
	A register of the Directors or a copy of audited annual accounts listing the directors
	Identification documentation of two directors (or one director and one authorized signatory) will be required as per the legal entity form (See relevant section)
	Full list of shareholders detailing the percentage ownership
	UBO register extract (if applicable)
	For all Beneficial Owners holding 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity as described above, identification documentation will be required as per the legal entity form (see relevant section).
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following for all Beneficial Owners as described above:
	Certified copies of the above documents
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
<b>7</b>	<b>INSTITUTIONAL – Local and/or Public Authorities/Supranational Bodies</b>
	Name of the home state authority and the nature of its relationship with the public body
	Nature and purpose of the institution
	List of controllers of the institution
	Verify the identity of two controllers or one controller and one authorised signer
	Details of the main public body officials (name, residential address, date of birth, and occupation)
	Identify all persons who own or control 25% or more of the entity's share capital or voting rights of the body or otherwise exercises control over the management of the body
	UBO register extract (if applicable)
	Copy of the latest audited report and accounts (or confirmation that they are not produced)
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:
	For 2 Officials:
	A certified copy of a valid passport (or national identity card, driver license, or government-issued identification with photograph)
	Two proofs of current residential address dated within the last 6 months via two original or certified copy of recent bank statements or utility bills (mobile phone bills are not acceptable)
	Confirmation on the Source of Wealth

	SS&C Senior Management & Fund Approval
8	<b>PENSION SCHEMES</b>
	Simplified Due Diligence (“ <b>SCDD</b> ”) is considered appropriate for pension, superannuation or similar schemes provided proof is obtained from the local government authority confirming its exempt status. In order to qualify, the scheme must ensure that: 1. Retirement benefits are provided to employees; and 2. Contributions are made by an employer or by way of deduction from an employee’s wages; and 3. The scheme rules do not permit the assignment of a member’s interests under the scheme; and 4. The pension scheme is registered in an equivalent jurisdiction (this can be determined independently). Confirmation of the above point must be obtained in der to apply SCDD to a pension scheme. <b>Pension schemes not qualifying for SCDD.</b>
	Full name and registered address of scheme
	Copy of Authorized Signatory List
	Confirmation of registration from Pensions Board or relevant tax authority, if applicable
	Formation Document (e.g., Trust Deed or equivalent); and
	Details of Trustees/Directors/Board Members or the equivalent (name, residential address, date of birth, and occupation)
	Verification of two controllers – Trustees/Directors/Governors/Board Members or equivalent.
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:
	Name and address of the Scheme Administrator. Additional documentation may be required in respect of the Scheme Administrator. This will be advised on receipt of the Scheme Administrator details.
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
9	<b>PRIVATE TRUSTS (With No Designated Person As Trustee)</b>
	Copy of the Trust Deed or equivalent
	Registered address of the trust
	Confirmation of legal form of entity (e.g., trust or foundation)
	Nature and purpose of entity
	Details of all trustees (name, residential address, date of birth, and occupation)
	Details of the settlors or controllers or protectors (name, residential address, date of birth, and occupation)
	Details of all Beneficial Owners (name, residential address, date of birth, and occupation)
	If there are no Beneficial Owners, provide details of the individual who has control over the trust and individuals in whose main interest the trust is set up or operates
	Identification documentation of two trustees (or one trustee and one authorized signatory) (see document requirements for individuals). If the Trustee is not an individual, identification documentation will be required as per the legal entity form (See relevant section)
	Identification documentation in respect of all beneficiaries as per the legal entity form (see relevant section).
	Identification documentation in respect of all Settlers, Protectors & Enforcers
	UBO register extract (if applicable)
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:

	Certified true copies of the above documents
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
10	<b>PARTNERSHIPS</b>
	Copy of the Partnership Agreement or equivalent including the full name of the entity and registered address
	Details of all partners (name, residential address, date of birth, and occupation) or where the Partnership is a Fund
	Verification of the identity of the General Partner
	Details of the and Partners who own 25% or more of the partnership capital, profit, voting rights or otherwise exercise control over the management of the entity (name, residential address, date of birth, and occupation)
	Identification documentation for all partners who own 25% or more of the partnership capital, profit, voting rights or otherwise exercise control over the management of the entity in line with their legal entity form (see relevant section)
	UBO register extract (if applicable)
	Identification documentation of the General Partner or two partners (or one partner and one authorized signatory) as per the legal entity form (see relevant section)
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
11	<b>LIMITED LIABILITY COMPANIES</b>
	Full name and registered address
	Operating agreement
	Copy of the Certificate of Formation or equivalent
	Identification documentation for two Managing Members (or one Managing Member and one authorized signatory) as per the legal entity form (see relevant section)
	Details of all Managing Members (name, residential address, date of birth, and occupation)
	Details of Members who own 25% or more of the share capital, profit, voting rights or otherwise exercise control over the management of the entity (name, residential address, date of birth, and occupation)
	Identification documentation for all Members beneficially entitled to 25% or more of the share capital, profit voting rights or otherwise exercise control over the management of the entity as per the legal entity form (see relevant section)
	UBO register extract (if applicable)
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
12	<b>REGISTERED CHARITIES/FOUNDATIONS</b>
	Confirmation on nature and purpose of charity including nature of funding
	Full name and address of the institution
	Constitutional or Formation document
	Details of Trustees/Directors/Board Members or the equivalent (name, residential address, date of birth, and occupation)
	Review of the relevant charities register

	Copy of the Audited Financial Statements
	Identification documentation of either two Trustees/Directors/Board Members or the equivalent (or one Trustee/Director/Board Member or equivalent and one authorized signatory) as per their legal entity form (see relevant section)
	Details of the beneficiaries (where ascertainable)
	Identification documentation for all beneficiaries who own 25% or more of the charity capital, profit or voting rights or otherwise exercise control over the management of the charity. Documentation required as per the legal entity form (see relevant section)
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
13	<b>SCHOOLS, COLLEGES OR UNIVERSITIES</b>
	Full name
	Registered office address
	Copy of the constitutive document / formation document
	Details of the main officials (name, date of birth)
	Identification documentation of two officials (or one official and one authorized signatory) as per their legal entity form (see relevant section)
	Determine the ownership of the entity. In particular, determine if owned publicly or privately. In case of the latter, identify all beneficiaries holding 25% or more of the share capital, profit or voting rights
	Identification documentation for all beneficiaries who own or control 25% or more of the entity's share capital, profit or voting rights, where applicable
	IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following::
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
14	<b>FUNDS</b>
	Full name of the Fund
	Registered address of the Fund
	Copy of the authorized signatory list
	Copy of the Offering Memorandum/PPM or equivalent
	Proof of regulation for the entity conducting the AML on the underlying investors of the Fund
	Signed AML letter from the administrator on company headed paper
	Identify beneficial owners who own more than 25% of the Fund capital, profit or voting rights or otherwise exercise control over the management of the Fund
	UBO register extract (if applicable)
	Verification of the UBO or Senior Managing Officials detailed in the UBO register through reputable public sources e.g. company website, annual report, reputable news reports or other government registers.
	IF from a Non-Equivalent Country, OR if entity conducting AML is not regulated in an equivalent country, all documentation listed above must be provided in certified format.
	Please also provide the following:
	Identification documentation of either two Trustees/Directors/Board Members
	Confirmation on the Source of Wealth
	SS&C Senior Management & Fund Approval
	Identification documentation of all investors holding 25% or more of the shares/units in the Fund as per their legal entity form (see relevant section)

**SECTION V: PEP REPRESENTATION**

PEPs, and immediate family members, and close associates of such persons must also be identified and are subject to Enhanced Due Diligence.

**I am a PEP, and/or immediate family member, and/or close associate of a PEP. *Please provide the following details and complete Schedule I - Source of Wealth Confirmation:***

<b>Name:</b>	
<b>Residential Address:</b>	
<b>Date of Birth:</b>	
<b>Occupation:</b>	

**I am NOT a PEP, and/or immediate family member, and/or close associate of a PEP.**

**SECTION VI: SIGNATURES**

The undersigned hereby represents that: (i) the information contained herein is complete and accurate and may be relied upon; and (ii) the AML representations contained in Section VII are true and correct.

**IN WITNESS WHEREOF**, the undersigned has executed this AML Supplement this \_\_\_\_\_ day of \_\_\_\_\_, 202\_\_\_\_.

**SIGNATURE FOR INVESTOR TYPE 1 - INDIVIDUALS OR JOINT APPLICANTS as outlined in Section IV**

Print Name	
Signature	
Print Name	
Signature	

**SIGNATURE FOR INVESTOR TYPES 2-13 – COLLECTIVELY “ENTITIES” as outlined in Section IV**

Name of Entity	
Authorized Signature	
Name	
Title	

**For the purposes of this AML Supplement:**

**“EQUIVALENT COUNTRY”** means the countries set in SFSIL’s country risk assessment memorandum as having an effective AML/CFT system, low level of corruption/criminal activity and/or are in line with FATF recommendations on AML/CFT. The list includes the following countries Australia, Austria, Belgium, Bermuda, Canada, Cayman Islands, Czech Republic, Denmark, Estonia, Finland, France, The French Overseas Territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis and Futuna), Germany, Greece Guernsey, Hong Kong, Ireland, Isle of Man, Israel, Italy, Japan, Jersey, Liechtenstein, Luxembourg, , New Zealand, The Netherlands (to include Aruba, Curacao and Saint Maarten), Norway, Poland, Portugal, Singapore, Slovak Republic, Slovenia, South Korea, Spain, Sweden, Switzerland, United Kingdom and United States.

**“BENEFICIAL OWNER”** means, in relation to a body corporate, the definition given to it by point 6(a) of Article 3 of the EU Fourth Money Laundering Directive and includes any natural person who ultimately owns or controls the relevant legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity or through control via other means.

**“DESIGNATED PERSON”** is a regulated financial institution (i.e. bank or broker-dealer), a credit institution, a financial institution, an auditor, external accountant or tax advisor, a relevant independent legal professional, a trust or company service provider that is located in a Specified Country.

**“PEP”** is an individual who has at any time in the preceding 12 months been entrusted with a prominent public function including either of the following individuals.

- (a) A specified official;
- (b) A member of the administrative, management or supervisory body of a state-owned enterprise;

**“SETTLER”** refers to the individual who created the trust or granted property to the trust.

**“SUITABLE CERTIFIERS”** include a chartered and certified public accountant, notary public, lawyer, embassy and consular staff, Director or manager of a registered broker-dealer or other regulated financial institution, or a member of the judiciary or a senior civil servant. Each document presented must be marked with the words “original seen” or “true copy of the original document.” The document must be signed and dated by the individual certifying the document and noting their capacity, contact details, and license number (if applicable).

**SCHEDULE I**

**SOURCE OF WEALTH CONFIRMATION**

"I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require the verification of my/our identity, address and source of funds and in certain circumstances of the relevant beneficial owner. In addition, this also requires the ongoing monitoring of our business relationship. I/we also acknowledge that the commencement of a business relationship with politically exposed persons, commonly referred to as PEPs, requires a higher level of scrutiny. A PEP is an individual who is or has, at any time in the preceding 12 months, been entrusted with a prominent public function, his/her immediate family members and/or close associates of such person.

**PEP Confirmation**

I/We confirm that I am/we are a PEP Y/N

In the case of an incorporated applicant, I confirm that the beneficial owner(s) is/are PEPs Y/N

**Source of Wealth**

If you have answered Yes to either of the previous questions or are resident/incorporated in a non-equivalent country, please complete the following:

To comply with the requirements of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010-2021, you are required to provide information to confirm the source of funds and source of wealth in respect of the amount you are investing. This checklist must be signed and dated by either the investor(s) or the intermediary.

**Please fully complete the appropriate sections and associated details below.**

**Individual Investors:** Please ensure that both A and C below are fully completed

**Corporate Investors:** Please ensure that both B and C below are fully completed

(to be completed in respect of single and joint applicants)

**A Individuals**

Occupation

Employer (omit if retired)

Annual Income (omit if retired)


Source of funds

Income

Savings

Inheritance

Sale of existing assets

Other

Benefactor

Date

Type of assets sold

Please specify


Details of Additional Assets Held

Cash

Property

Shares/Bonds

Other (Details)

None

Value

Value

Value


Investor's net worth (total assets less liabilities) In respect of joint applicants, combined total net worth

USD/EUR 100,000 to 500,000

USD/EUR 500,001 to 1,000,000

<input type="checkbox"/>	USD/EUR 1,000,001 to 1,250,000
<input type="checkbox"/>	More than USD/EUR 1,250,000

**B Corporate**

Please provide one of the following

- (i) an original document or certified true copy of latest audited financial statements, or
- (ii) an original document or certified true copy of latest financial statements, or
- (iv) confirmation that (i) or (ii) are not produced plus details of the corporate's:

1. Activities and nature of business activity
2. Annual net profits for previous and current financial years and net assets at end of current and previous financial years
3. Anticipated level of investment in products offered by SS&C in the coming 12 months

**C This checklist must be signed and dated by the investor(s) or the intermediary**

Prepared by (capitals)

Name of investor

or Name of intermediary

Signature

Date


**(Please complete fully as incomplete applications may be rejected)**

I/We acknowledge that the Administrator reserves the right not to issue shares/units until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address, PEP status and source of funds. I/We also acknowledge that the Administrator shall be held harmless by me/us against any loss suffered by the Administrator arising as a result of a failure to process my/our application for shares/units if such information and documentation as has been requested by the Administrator has not been provided by me/us. I/We also confirm that if my status changes I/we will alert the administrator.

**SCHEDULE II**

**Declaration on own behalf or as intermediary**

**Please tick A or B where relevant**

**A Declaration on own behalf**

I/We declare that I am/we are applying for 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.

**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.  
**Note:** Please also complete the ultimate beneficial ownership declaration attached

**Date/Month/Year:** \_\_\_\_\_

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

**Full Name:** \_\_\_\_\_

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

**SCHEDULE III**

**Ultimate Beneficial Ownership Declaration**

The undersigned [Name] \_\_\_\_\_

is an authorized signatory of \_\_\_\_\_

a company incorporated under the laws of \_\_\_\_\_

having its registered office at \_\_\_\_\_

and registered and / or regulated with \_\_\_\_\_

**Please select the correct option**

**Option 1:**

- No individual holds equal to or more than 25% interest in the investment as its ultimate beneficial owner;

**Option 2**

- *[Name of Shareholder who directly/indirectly owns more than 25% of the investment]*

\_\_\_\_\_ holds \_\_\_\_\_% interest in the investment as its ultimate beneficial owner;

Given in \_\_\_\_\_

Date/Month/Year \_\_\_\_\_

Signature: \_\_\_\_\_

Full Name: \_\_\_\_\_

Title: \_\_\_\_\_

---

## Section 8 – Distance Marketing Notice

---

Information for the purposes of Regulation 6 of the European Communities (Distance Marketing of Consumer Financial Services) Regulations 2004, as amended (the "**Regulations**")

The ICAV was registered in Ireland on 18 November 2015 with registration number C146346 as an Irish collective asset-management vehicle with segregated liability between sub-funds and is authorised in Ireland by the Central Bank of Ireland as a qualifying investor alternative investment fund. All correspondence in connection with the ICAV should be forwarded to the Administrator, SS&C Financial Services (Ireland) Limited, Bishop's Square, Redmond's Hill, Dublin, D02 TD99, Ireland.

The objective for which the ICAV is established is the collective investment of its funds and giving members the benefit of the results of the management of its funds.

The subscription price for Shares in the Fund depends on fluctuations in financial markets outside the control of the ICAV. Past performance is not an indication of future performance.

Investors should note that the price of Shares may go down as well as up to reflect changes in the Net Asset Value of the relevant Fund to which the Shares belong, as well as any income therefrom. The difference at any time between the subscription price and repurchase price of Shares in a Fund means that an investment in the Fund should be viewed as a medium to long term investment.

This Application Form and your contract with the ICAV are governed by and interpreted in accordance with Irish law and each of the parties hereby submits to the exclusive jurisdiction of the Irish courts.

This Application Form, all other terms and conditions of your contract with the ICAV and all communications in relation to the ICAV shall be in English.

If you have any complaints in relation to any aspects of your relations with the ICAV you should email the Investment Manager at [notifications@rvcapital.com](mailto:notifications@rvcapital.com). If you are not satisfied with the response, you have the right to complain directly to the Central Bank.

---

---

**Section 9 – Benefit Plan Investors**

---

---

**1. Benefit Plan Investors**

In order for the ICAV and each Fund to accurately monitor its "Benefit Plan Investor" participation, please review the following definition and make the appropriate representations by checking all applicable boxes following the definition

The Subscriber represents that it is:

- A.  not a Benefit Plan Investor<sup>1</sup>; or
- B.  a Benefit Plan Investor that is:
1.  subject to Part 4 of Title I of the Employee Retirement Income Security Act of 1974, as amended ("**ERISA**");
  2.  subject to Section 4975 of the Internal Revenue Code of 1986, as amended (the "**Code**") (that has not checked B1);
  3.  an entity whose underlying assets include "**plan assets**". The Subscriber also represents that the percentage of its "plan assets" compared to the value of its total assets is not more than:

<input type="checkbox"/>	10% *	<input type="checkbox"/>	20% *	<input type="checkbox"/>	30%	<input type="checkbox"/>	40%
<input type="checkbox"/>	50%	<input type="checkbox"/>	60%	<input type="checkbox"/>	70%	<input type="checkbox"/>	80%
<input type="checkbox"/>	90%	<input type="checkbox"/>	100%;				

(\* applicable to entities with multiple classes, one of which exceeds the 25% threshold for Benefit Plan Investors)

4.  an insurance company general account (or is investing general account assets under the U.S. Department of Labor Advisory Opinion Letter 2005-19A). The Subscriber also represents that the percentage of "plan assets" included in the general account is not more than:

<input type="checkbox"/>	10%	<input type="checkbox"/>	20%	<input type="checkbox"/>	30%	<input type="checkbox"/>	40%
<input type="checkbox"/>	50%	<input type="checkbox"/>	60%	<input type="checkbox"/>	70%	<input type="checkbox"/>	80%
<input type="checkbox"/>	90%	<input type="checkbox"/>	100%.				

The Subscriber agrees to promptly notify the ICAV, the Investment Manager and the Administrator immediately if the above response changes and to provide any other information reasonably requested by the ICAV, the Investment Manager or the Administrator for the purposes of determining whether or not the Fund is holding "plan assets".

If the Subscriber is, or is acting on behalf of, an employee benefit plan (a "**Plan**") which is subject to ERISA, the Subscriber represents and warrants that: (a) it is aware of and has taken into consideration any applicable diversification requirements of Section 404(a)(1)(C) of ERISA; (b) it has concluded that its proposed investment in the Fund is a prudent one and has independently decided to invest in the Fund; (c) the fiduciary or other person signing this Application Form is independent of the Fund and parties providing services to the Fund (including without limitation the Manager); (d) this subscription and the investment contemplated hereby is in accordance with all requirements applicable to the Plan under its governing

---

<sup>1</sup> A Benefit Plan Investor means (1) an "employee benefit plan" within the meaning of Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended, that is subject to the provisions of Part 4 of Title I of ERISA, (2) an individual retirement account, Keogh plan or other plan described in Section 4975(e)(1) of the US Internal Revenue Code of 1986, as amended, (3) an entity whose underlying assets include "plan assets" by reason of 25% or more of any class of equity interests in the entity being held by plans described in (1) or (2) above, or (4) any other entity (such as an insurance company separate or general account or a group or common trust) whose underlying assets include "plan assets" by reason of an investment in the entity by plans described in (1) or (2) above.

instruments and under ERISA; (e) the Subscriber acknowledges and agrees that parties providing services to the Fund shall not be a "fiduciary" (within the meaning of Section 3(21) of ERISA) with respect to any assets of the Plan by reason of the Subscriber's investment in the Fund; (f) the Subscriber represents and warrants that neither the Manager nor any affiliate thereof has acted as a fiduciary to the Subscriber with respect to the decision to invest in the Fund nor have such persons provided investment advice or a recommendation with respect to the decision of the Subscriber to invest in the Fund; and (g) the investment by the Subscriber in the Fund will not result in a "prohibited transaction" under Section 406 of ERISA or Section 4975(c) of the Code.

**2. U.S. National Futures Association Bylaw 1101 Representation**

If the Subscriber is an investment entity, please indicate below the capacity in which the investment adviser, sponsor or general partner of the Subscriber is registered with the U.S. Commodity Futures Trading Commission (the "CFTC") or the exemption from registration on which it is relying:

- Registered Commodity Pool Operator
- Registered Commodity Trading Advisor
- Exempt under CFTC Rule 4.5 (registered investment company, insurance company, bank, employee benefit plan)
- Exempt under CFTC Rule 4.13
- Exempt under CFTC Rule 4.14
- Other: \_\_\_\_\_.

*[Remainder of this page intentionally left blank]*

---

**Section 10 - Signatures**

---

I/we agree to be bound by the representations, warranties and declarations set out in this Application Form.

Authorised Signatory #1 <hr/>	Authorised Signatory #2 <hr/>
Capacity of Authorised Signatory (if applicable)	Capacity of Authorised Signatory (if applicable)
Date: _____	Date: _____
Authorised Signatory #3 <hr/>	Authorised Signatory #4 <hr/>
Capacity of Authorised Signatory (if applicable)	Capacity of Authorised Signatory (if applicable)
Date: _____	Date: _____

---

**Appendix A – Declaration of residence outside the Republic of Ireland**

---

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

**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 resident or ordinarily resident in Ireland, and
- should I/we/the company\* become resident in Ireland I will/we will\* so inform you, in writing, accordingly.

**\*Delete as appropriate**

**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 resident nor ordinarily resident in Ireland.

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\* holds Shares, becomes resident in Ireland.

**\*Delete as appropriate**

\*\* Intermediary means a person who carries on a business which consists of, or includes, the receipt of payments from an investment undertaking on behalf of other persons or holds shares in an investment undertaking on behalf of other persons

**Name and address of applicant:**

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

**Signature of applicant or authorised signatory:**

\_\_\_\_\_ (declarant)

**Capacity of authorised signatory (if applicable):**

\_\_\_\_\_

**Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Joint Applicants:**

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

***Joint applicants:***

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

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

**IMPORTANT NOTES**

- 1 Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- 2 To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
- 3 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.

## Notes in relation to residence / ordinary residence:

### Residence — Individual

An individual will be regarded as being resident in Ireland for a tax year if s/he;

- 1) spends 183 days or more in the State in that tax year; or
- 2) has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding year.

Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Up to 31 December 2008, presence in the State for a day means the personal presence of an individual at the end of the day (midnight). **From 1 January 2009, presence in the State for a day means the personal presence of an individual at any time during the day.**

### Ordinary Residence — Individual

The term "ordinary residence" as distinct from "residence" relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity. An individual who has been resident in the State for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in the State in 2004 and departs from the State in that year **will remain** ordinarily resident up to the end of the tax year in 2007.

### Residence — Company

Prior to Finance Act 2014, company residence was determined with regard to the long-established common law rules based on central management and control. These rules were significantly revised in Finance Act 2014 to provide that a company incorporated in the State will be regarded as resident for tax purposes in the State, unless it is treated as resident in a treaty partner country by virtue of a double taxation treaty. While the common law rule based on central management and control remains in place, it is subject to the statutory rule for determining company residence based on incorporation in the State set out in the revised section 23A TCA 1997.

The new incorporation rule for determining the tax residence of a company incorporated in the State will apply to companies incorporated on or after 1 January 2015. For companies incorporated in the State before this date, a transition period will apply until 31 December 2020.

**Appendix B – Exempt Irish Investor**

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

**It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of units.**

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the units on behalf of the applicant named below who is entitled to the units in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick  as appropriate)

**\* Delete as appropriate. (Please see overleaf for important information)**

a pension scheme;	
a company carrying on life business within the meaning of section 706 TCA 1997;	
an investment undertaking;	
a special investment scheme;	
a unit trust to which section 731(5)(a) TCA 1997 applies;	
a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;	
a qualifying management company as defined in section 739B(1) TCA 1997, as inserted by section 31(1)(a), Finance 2010 ;	
a person who is entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997* or by virtue of section 848E TCA, 1997*, (see further requirements for Qualifying Fund Manager below).	
a PRSA Administrator	
a credit union within the meaning of section 2 of the Credit Union Act 1997	

**Additional requirements where the declaration is completed on behalf of a Charity**

- I also declare that at the time of making this declaration, the units in respect of which this declaration is made are held for charitable purposes only and;
  - form part of the assets of a body of persons or trust treated by the Revenue Commissioners as a body or trust established for charitable purposes only, or
  - are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.
- I undertake that, in the event that the person referred to in paragraph (7)(d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA, 1997, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed by a qualifying fund manager/ qualifying savings manager/PRSA Administrator**

- I/we\* also declare that at the time this declaration is made, the units in respect of which this declaration is made
  - are assets of an \*approved retirement fund/an approved minimum retirement fund/ a special savings incentive account or a PRSA, and
  - are managed by the Declarant for the individual named below who is beneficially entitled to the units.
- I/we\* undertake that, if the units cease to be assets of the \*approved retirement fund/the approved minimum retirement fund, a PRSA, or held in a special savings incentive account, including a case where the units are transferred to another such fund or account, I/we\* will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed by an Intermediary**

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

- to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the units in respect of which this declaration is made; and
- is a person referred to in section 739D(6) TCA 1997.

I/we\* also declare that

- unless I/we\* specifically notify you to the contrary at the time of application, all applications for Shares/units made by me/us\* from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and
- I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997. \* **Delete as appropriate**

**Name of applicant:** \_\_\_\_\_

**<sup>2</sup>Irish tax reference number of applicant:** \_\_\_\_\_

**<sup>3</sup>Authorised signatory:** \_\_\_\_\_ **(declarant)**

**Title: (Mr./Ms. etc.)** \_\_\_\_\_

**Capacity in which declaration is made:** \_\_\_\_\_

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

**IMPORTANT NOTES**

<sup>1</sup>This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.

<sup>2</sup>Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by the Revenue Commissioners. In the case of a qualifying fund manager/qualifying savings manager, quote the tax reference number of the beneficial owner of the Shares/units.

<sup>3</sup>In the case of, (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. It must also be signed by a qualifying fund manager of an approved retirement fund/an approved minimum retirement fund, by a qualifying savings manager of a special savings incentive account or by a PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

**AEOI Individual (including Controlling Person) Self-Certification for FATCA and CRS**

**Instructions for completion and Data Protection Notice**

*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 account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (2016/679/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.*

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS, please refer to the Irish Revenue or OECD website at:

<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

**Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

(Mandatory fields are marked with an \*)

**\*Section 1: Account Holder/Controlling Person Identification**

**\*Account Holder / Controlling Person Name:** \_\_\_\_\_

**\*Current Residential Address:**

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

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

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

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

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

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

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**\*Place and Date Of Birth**

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

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

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

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

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

\_\_\_\_\_

**OR**

- (b)  I confirm that **I am not** a U.S. citizen or resident in the U.S. for tax purposes.

**\*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies including Citizenship and Residency by Investment disclosure**

Please indicate your country of tax residence (if resident in more than one country, please detail **all** countries of tax residence **and all** associated tax identification numbers ("TINs")).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

**NOTE:** Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) You are tax resident in a Jurisdiction that does not issue a TIN; **or**  
b) You are tax resident **only** in a non-reportable Jurisdiction for CRS (i.e. Ireland or the USA).

**Please list all Tax ID numbers below.**

Country of Tax Residency	Tax ID Number (or TIN equivalent)	If TIN is unavailable, Select (A, B or C) and check box below

**If a TIN is unavailable**, please confirm the reason why below by ticking A, B or C below.

Reason A	<input type="checkbox"/>	The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.
Reason B	<input type="checkbox"/>	The Account Holder is otherwise unable to obtain a TIN ( <i>Please explain why you are unable to obtain a TIN</i> ) _____
Reason C	<input type="checkbox"/>	No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Please tick this box to confirm you have specified all jurisdictions in which you are resident for tax purposes.

### **3.1 Citizenship/Residency by Investment (CBI/RBI)**

Citizenship by Investment (CBI) and Residency by Investment (RBI) schemes are offered by a number of jurisdictions and allow foreign individuals to obtain citizenship or temporary/permanent residency rights based on local investments or against a flat fee. In this regard, the OECD have identified specific jurisdictions that operate CBI/RBI schemes which could potentially pose a high-risk to the integrity of CRS.

If, in this Section 3, you have confirmed that you are resident **only** in one or more of these specific jurisdictions (and not in any other jurisdiction), we are required to determine whether your citizenship/residency rights were obtained through a CBI/RBI scheme. If so, we must collect additional information.

For further details, including the list of jurisdictions and relevant CBI/RBI schemes, please refer to the OECD website:

<https://www.oecd.org/en/topics/sub-issues/international-standards-on-tax-transparency/residence-citizenship-byinvestment.html>

Please select one of the following options:

#### **Option 1:**

I confirm that I am either **not resident** or **not solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity. *(If you select this box, no further information is required in this section – please proceed to Section 4, if applicable.)*

#### **Option 2:**

I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity but **I did not** receive my residence rights under a CBI/RBI scheme. *(If you select this box, no further information is required in this section – please proceed to Section 4, if applicable.)*

#### **Option 3:**

I confirm that I am **solely resident** in one or more of the jurisdictions designated by the OECD as operating a CBI/RBI scheme that may pose a high risk to CRS integrity **and I solely obtained my residence rights** in these jurisdictions under one or more CBI/RBI schemes. *(If you select this box, please complete Section 3.2)*

### **3.2 CBI/RBI additional queries where an Account holder or Controlling person has obtained citizenship or residency in an OECD CBI/RBI high risk jurisdiction.**

*(Additional questions to be completed ONLY where Option 3 above has been ticked).*

**Do you hold residence rights in any other jurisdiction(s)?**

No

Yes *(If yes, list the jurisdiction(s))* \_\_\_\_\_

**Have you spent more than 90 days in any other jurisdiction(s) during the previous year?**

No

Yes *(If yes, list the jurisdiction(s))* \_\_\_\_\_

**In which jurisdiction(s) have you filed your personal income tax returns during the previous year?**  
*(list the jurisdiction(s) below)*

\_\_\_\_\_

**Section 4 - Type of Controlling Person\*\***

**\*\* (ONLY to be completed by an individual who is a Controlling Person of an entity which is a Passive NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)**

For Joint or multiple Controlling Person(s), please complete a separate "Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form for **each** Controlling Person.

<b>Controlling Person of a Legal Person</b>	<b>Please Tick all that apply</b>	<b>Entity Name</b>
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		

<b>Controlling Person of a Trust</b> <i>(Please select all that apply)</i>	<b>Please Tick all that apply</b>	<b>Entity Name</b>
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		

<b>Controlling Person of a Legal Arrangement (Non-Trust)</b> <i>(Please select all that apply)</i>	<b>Please Tick all that apply</b>	<b>Entity Name</b>
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		

**\*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 and consent to the fact 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, within 30 days where any change in circumstances occurs, which causes any of the information contained in this form to be incorrect.

**Data Protection - Customer Information Notice:**

The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the automatic exchange of information (AEOI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

The standard requires that Financial Institutions in participating jurisdictions gather certain information from account holders (and, in particular situations, also collect information in relation to relevant Controlling Persons of such account holders).

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

Information that may be reported includes name, address, date of birth, place of birth, account balance, any payments including redemption and dividend/interest payments, Tax Residency(ies) and TIN(s).

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>  
And on the Irish Revenue website: <https://www.revenue.ie/en/companies-and-charities/internationaltax/aeoi/index.aspx>

**\*Authorised Signature:** \_\_\_\_\_

**\*Print Name:** \_\_\_\_\_

**\*Date of signature (dd/mm/yyyy):** \_\_\_\_\_

**\*Capacity (if Controlling Person):** \_\_\_\_\_

**AEOI Entity Self-Certification for FATCA and CRS**

**Instructions for completion and Data Protection Notice**

*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 account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (2016/679/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.*

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS, please refer to the Irish Revenue or OECD website at:

<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

**(Mandatory fields are marked with an \*)**

**\*Section 1: Entity Account Holder Details**

**\*Account Holder Name:** \_\_\_\_\_ (the "Entity")

**\*Country of Incorporation or Organisation:** \_\_\_\_\_

**\*Current (Resident or 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**

Please tick **either** (I) or (II) or (III) below **and** provide U.S TIN or exemption code as appropriate, and complete the appropriate sections below based on your FATCA classification.

- (I) **Specified U.S. Person (also complete Sections 4 and 5 below)**  
U.S. Federal Taxpayer Identification Number (TIN):   
\_\_\_\_\_
- (II) U.S. Person but not a Specified U.S. Person (also complete Sections 4 and 5 below)  
W9 Exemption Code: \_\_\_\_\_
- (III) Not a Specified U.S. Person (also complete Sections 3, 4 and 5 below)

**\*Section 3: Entity’s FATCA Classification**

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

**Complete EITHER Section 3.1 and 3.2 OR Section 3.3 OR Section 3.4**

**3.1 Financial Institutions (FIs) under FATCA:**

If the Entity is a Financial Institution, **tick one of the below categories** I, II, III and provide a GIIN at 3.2; if not, complete section 3.3 to explain type of Entity you are and why a GIIN cannot be provided.

I.	Irish Financial Institution (FI) or other Partner Jurisdiction Financial Institution (FI)	<input type="checkbox"/>
II.	Registered Deemed Compliant Foreign Financial Institution	<input type="checkbox"/>
III.	Participating Foreign Financial Institution	<input type="checkbox"/>

**3.2 Please provide the Entity’s FATCA Global Intermediary Identification number (GIIN):**

.       .   .

**3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please explain by choosing one of the below reasons:**

I.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Provide the sponsor’s name and sponsor’s GIIN:</p> <p><b>Sponsor’s Name:</b></p> <p>_____</p> <p><b>Sponsor’s GIIN:</b></p> <p> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> </p> <p><b>Note:</b> This option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until reportable accounts are identified</p>	<input type="checkbox"/>
----	--	--------------------------

II.	<b>The Entity is an Exempt Beneficial Owner</b> <b>Confirm the type of Exempt Beneficial Owner below;</b>	<input type="checkbox"/>
	Government Entity <input type="checkbox"/>	International Organisation <input type="checkbox"/>
	Foreign Central Bank <input type="checkbox"/>	Exempt Retirement Fund <input type="checkbox"/>
	Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners <input type="checkbox"/>	
III.	<b>The Entity is a Certified Deemed Compliant Foreign Financial Institution</b> <i>(including a deemed compliant Financial Institution under Annex II of the IGA agreement)</i> <b>Indicate exemption:</b> _____	<input type="checkbox"/>
IV.	<b>The Entity is a Non-Participating Foreign Financial Institution (NPFPI)</b>	<input type="checkbox"/>
V.	<b>The Entity is an Excepted Foreign Financial Institution</b>  <b>Indicate exemption:</b> _____	<input type="checkbox"/>
VI.	<b>The Entity is a Trustee Documented Trust</b> <b>Please also provide your Trustee's name and GIIN below</b>  <b>Trustee Name:</b> _____	<input type="checkbox"/>
	<b>Trustee GIIN</b>  <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/>	

### 3.4 Non-Financial Foreign Entity ("NFFE") under FATCA:

If the Entity is **not a Financial Institution** but a **Non-Financial Foreign Entity (NFFE)**, please confirm the Entity's FATCA classification by ticking **one** of the below categories:

I.	<b>Active (NFFE)</b>	<input type="checkbox"/>
II.	<b>Passive (NFFE)</b> <i>Confirm Type of Passive NFFE that applies (a) or (b) below</i> <b>a. Passive (NFFE) with <u>no</u> Controlling Persons that are specified U.S Persons.</b> <b>OR</b>	<input type="checkbox"/>
	<b>b. Passive (NFFE) with Controlling Persons that are specified U.S Persons</b> <i>(If this box is ticked, also <b>complete section 6 below</b> and provide separate individual self-certification forms from each of the Controlling Persons)</i>	<input type="checkbox"/>
III.	<b>Excepted (NFFE)</b>	<input type="checkbox"/>
IV.	<b>Direct Reporting (NFFE) (Please provide your GIIN)</b>  <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/>

**\*Section 4: Common Reporting Standard (“CRS”) Declaration of Tax Residency**

(Note that Entities may have more than one country of Tax Residence)

**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 **all** associated tax identification numbers (“TIN”).

Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TINs.

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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.

**NOTE:** Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) you are tax resident in a Jurisdiction that does not issue a TIN; **or**
- b) you are tax resident only in a non-reportable Jurisdiction for CRS (i.e. Ireland or the USA).

**Please list ALL Tax ID Numbers below:**

Country of Tax Residency	Tax ID Number (or TIN equivalent)	If TIN is unavailable, Select (A, B or C) and check box below

If a TIN is unavailable, please confirm the reason why below by ticking A, B, or C below.

Reason A	<input type="checkbox"/>	The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.
Reason B	<input type="checkbox"/>	The Account Holder is otherwise unable to obtain a TIN ( <i>Please explain why you are unable to obtain a TIN</i> ) _____
Reason C	<input type="checkbox"/>	No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

<p><b>Please tick this box to confirm you have specified <u>all jurisdictions</u> in which the Entity is resident for tax purposes.</b></p>	<input type="checkbox"/>
---	--------------------------

**\*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 above). In addition, please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information on CRS to assist with classification, please see the OECD CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

**5.1 Financial Institutions (FI's) under CRS:**

If the Entity is a *Financial Institution*, **Resident in either a Participating or Non-Participating CRS Jurisdiction** please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

**Note:** Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

**CRS Financial Institution Type:**

<b>I.</b>	<b>A reporting Financial Institution resident in a <u>participating CRS Jurisdiction</u></b> <i>(including an Investment Entity, Depository FI, Custodial Institution, Specified Insurance company)</i>	<input type="checkbox"/>
<b>II.</b>	<b>A Financial Institution resident in a <u>Non-Participating CRS Jurisdiction</u> Please <u>also tick</u> the type of FI that applies</b>	
	<b>FI- Investment Entity resident in a Non-Participating Jurisdiction and <u>is managed by another Financial Institution</u></b> <i>(If this box is ticked, also <b>complete section 6 below</b> and provide separate individual self- certification forms from each of the Controlling Persons)</i>	<input type="checkbox"/>
	<b>FI- Investment Entity resident in a Non-Participating Jurisdiction but is <u>not managed by another Financial Institution/ Other Financial Institution</u></b> <i>(including a Depository Financial Institution, Custodial Institution or Specified Insurance Company <u>resident in a non-participating jurisdiction</u>).</i>	<input type="checkbox"/>
<b>III</b>	<b>Non-Reporting Financial Institution under CRS. (Specify the type of <u>non-reporting FI</u> below);</b>	
	Government Entity <input type="checkbox"/>	International Organisation <input type="checkbox"/>
	Central Bank <input type="checkbox"/>	Broad Participating Retirement Fund <input type="checkbox"/>
	Narrow Participation Retirement Fund <input type="checkbox"/>	Pension Fund of a Government Entity/ International Organisation or Central Bank <input type="checkbox"/>
	Exempt Collective Investment Vehicle <input type="checkbox"/>	Trust <i>(Who's trustee reports all required information with respect to all CRS reportable accounts)</i> <input type="checkbox"/>
	Qualified Credit Card Issuer <input type="checkbox"/>	Qualified Non-Profit Entity <input type="checkbox"/>
	Other Entity <i>(Defined under the domestic law as low risk of being used to evade tax). Specify the type provided in domestic law:</i>	<input type="checkbox"/>

## 5.2 Non-Financial Entity ("NFE") under CRS

If the Entity is a *not defined as a Financial Institution under CRS*, then please tick one of the below categories confirming if you are an Active NFE or Passive NFE.

Active Non-Financial Entity (NFE)		(Choose the box that applies)
I.	Active (NFE)-a corporation the stock of which is regularly traded on an established securities market Please provide details of the established securities market on which the corporation is regularly traded  _____	<input type="checkbox"/>
II.	Active (NFE) -if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation of which the Entity is a Related Entity: _____  And provide details of the securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
III.	Active NFE-a Government Entity or Central Bank	<input type="checkbox"/>
IV.	Active NFE-an International Organisation	<input type="checkbox"/>
V.	Active NFE-Other than those listed in I,II,III, or IV above <i>For example, a start-up or certain types of non-profit NFE's.</i>	<input type="checkbox"/>

OR

### Passive Non-Financial Entity (NFE)

VI.	<b>Passive (NFE)</b> If this box is ticked, please also complete <b>Section 6.1</b> for each of the Controlling Person(s) of the Entity and provide separate AEOI "Individual (including Controlling Persons) Self-Certification for CRS and FATCA form" as indicated in section 6.2 for each Controlling Person(s).	<input type="checkbox"/>
-----	---	--------------------------

### Section 6: Controlling Persons

**NB: Please note that each Controlling Person must complete a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form.**

**If there are no natural person(s) who exercise control of the Entity, then the Controlling Person for CRS purposes 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 VIII of the CRS Standard. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>*

#### 6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above or An Investment Entity** resident in a *Non-Participating Jurisdiction* and managed by another *Financial Institution* in the CRS section, then you must also complete this section for each of the Controlling Person(s) of the account holder and provide a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form for each Controlling person as per 6.2 below:

Indicate the name of all Controlling Person(s) of the Account Holder below:

I.	
II.	
III.	
IV.	

**Note: In case of a trust,**

Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust.

With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person for CRS purposes will be the natural person who holds the position of senior managing official of the Entity.

**6.2 Arrange for each of the Controlling Persons listed in Section 6.1 to complete a separate “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form for each Controlling Person listed in Section 6.1.**

**Section 7: 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/We** confirm (where applicable) that an **“Individual (including Controlling Persons) Self-Certification for FATCA and CRS”** form has been completed, signed and provided for **each Controlling person**, as defined under the CRS and FATCA regulations.

**I/We acknowledge and consent** to the fact 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** on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) 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 of signature(s) (dd/mm/yyyy):**

\_\_\_\_\_

---

---

**Appendix E – Confirmations**

---

---

Please confirm the following information by answering the following questions by checking the applicable box.

1. Is the Subscriber the beneficial owner of the Participating Shares?

Yes

No

If the answer above is "no", please provide the following details:

Name of Beneficial Owner (in full): \_\_\_\_\_

Beneficial Owner's Address:

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

**PLEASE COMPLETE THE FOLLOWING SECTIONS. WHERE THE SUBSCRIBER IS NOT THE BENEFICIAL OWNER, PLEASE COMPLETE THE SECTION BASED ON THE BENEFICIAL OWNER'S CIRCUMSTANCES.**

- 2. Is the Subscriber / beneficial owner\* a natural person?
  - Yes     *Please proceed to Item 3 and Item 4*
  - No     *Please proceed to Item 5 or Item 6 (whichever is appropriate) and continue until the end of this Appendix*
  
- 3. Is the natural person a tax resident\*\* in Singapore?
  - Yes
  - No
  
- 4. Is the natural person a Singapore citizen?
  - Yes
  - No

*Please proceed to Item 8.*
  
- 5. In the case where the Subscriber / beneficial owner\* is a corporation or other entity (except a partnership and trust), please complete Appendix E and answer Items 5(a) and 5(b) below:
  - (a) Is the Subscriber / beneficial owner\* a designated person (as defined below)?
    - Yes     *Please proceed to Item 8*
    - No     *Please proceed to Item 5(b)*
  
  - (b) Is the Subscriber / beneficial owner\* tax resident\*\* in Singapore?
    - Yes     *Please proceed to Item 7*
    - No     Please indicate the jurisdiction of tax residence:  

---

  
and proceed to Items 5(c) to 5(e) before proceeding to Item 7.
  
  - (c) Does the Subscriber / beneficial owner\* have a permanent establishment\*\*\* in Singapore or carry on a business in Singapore?
    - Yes
    - No
  
  - (d) If the answer to Item 5(c) is "yes", are the funds used to invest in the Fund from its permanent establishment\*\*\* and/or operations in Singapore?
    - Yes
    - No
  
  - (e) The Subscriber / beneficial owner\* carries out substantial business activities for genuine commercial reasons, and it does not have as its sole purpose the avoidance or reduction of tax or penalties in Singapore.
    - Yes
    - No

*Please proceed to Item 7.*
  
- 6. In the case where the Subscriber / beneficial owner\* is a partnership or trust, please complete Items 2 to 5 and Appendix E in respect of each beneficiary of the trust / each partner of the partnership.

7. Please answer the following:

(a) Does the Subscriber /beneficial owner/any of the partners / any of the beneficiaries of the trust\* have an Associate(s)\* that also beneficially owns, directly or indirectly, the Fund's Participating Shares?

- Yes  
 No

(b) If the answer to Item 7(a) is "yes", please provide the following details:

Name of Associate\*: \_\_\_\_\_  
(Please provide a separate list if the space provided is not sufficient)

Effective combined percentage of ownership in the Fund together with Subscriber / beneficial owner / partner / beneficiary of trust\*:

\_\_\_\_\_  
(Please provide a separate list if the space provided is not sufficient)

Please proceed to Item 8.

8.  I/We agree to promptly notify the ICAV, the Investment Manager and the Administrator's Delegate of any change with respect to the foregoing information, and to provide such further information as the ICAV, the Investment Manager, the Administrator or the Administrator's Delegate may reasonably require.

The ICAV may from time to time, and will, after the financial year-end of the Fund, notify all investors of their shareholding in the Fund. I/We irrevocably undertake to notify the ICAV, the Investment Manager and the Administrator's Delegate within fourteen (14) days of the ICAV's notification if, as at any date or at the financial year end of the Fund, the Subscriber and/or ANY beneficial owner, together with the Subscriber's and/or ANY beneficial owner's associates<sup>+</sup> (excluding individuals), beneficially own more than 30% of the total value of the securities in the Fund, and if so, I/We further undertake to furnish in writing (in relation to the Subscriber/the beneficial owner and their associates<sup>+</sup> (excluding individuals)) to the ICAV, the Investment Manager and the Administrator's Delegate, the respective name(s), tax reference numbers and the addresses of the beneficial owners in the Fund.

(\* delete as appropriate)

\*\* "Tax resident in Singapore":

- (a) in relation to an individual, means a person who, in the year preceding the year of assessment, resides in Singapore except for such temporary absences therefrom as may be reasonable and not inconsistent with a claim by such person to be resident in Singapore, and includes a person who is physically present or who exercises an employment (other than as a director of a company) in Singapore for 183 days or more during the year preceding the year of assessment; and
- (b) in relation to a company or body of persons, means a company or body of persons the control and management of whose business is exercised in Singapore.

\*\*\* "Permanent establishment" within the meaning of the Income Tax Act of Singapore means a fixed place where a business is wholly or partly carried on including —

- (a) a place of management;  
(b) a branch;  
(c) an office;

- (d) a factory;
- (e) a warehouse;
- (f) a workshop;
- (g) a farm or plantation;
- (h) a mine, oil well, quarry or other place of extraction of natural resources;
- (i) a building or work site or a construction, installation or assembly project,

and without prejudice to the generality of the foregoing, a person shall be deemed to have a permanent establishment in Singapore if that person –

- (i) carries on supervisory activities in connection with a building or work site or a construction, installation or assembly project; or
- (ii) has another person acting on that person's behalf in Singapore who —
  - (A) has and habitually exercises an authority to conclude contracts;
  - (B) maintains a stock of goods or merchandise for the purpose of delivery on behalf of that person; or
  - (C) habitually secures orders wholly or almost wholly for that person or for such other enterprises as are controlled by that person.

+ For the purpose of determining whether an investor of a qualifying fund is an associate of another investor of the fund, the two investors shall be deemed to be associates of each other if:

- (a) at least 25% of the total value of the issued securities in one investor is beneficially owned, directly or indirectly, by the other; or
- (b) at least 25% of the total value of the issued securities in each of the two investors is beneficially owned, directly or indirectly, by a third entity, unless any of the two investors is an independent listed entity and does not have 25% or more shareholding in any other investor.

The "deemed associate" tests in (a) and (b) above do not apply where:

- (i) no third person (other than an individual or a "designated person" (as defined below)) beneficially owns, directly or indirectly, at least 25% of the total value of issued securities of the two investors; and
- (ii) the holding of at least 25% of the total value of the issued securities in each of the two investors is held either directly by an individual or a "designated person", or indirectly through a nominee company or a trust fund by an individual or a "designated person".

A "designated person" means:

- (a) GIC Private Limited
- (b) the Monetary Authority of Singapore; or
- (c) any company which is wholly owned, directly or indirectly, by the Minister (in his capacity as a corporation established under the Minister for Finance (Incorporation) Act 1959 of Singapore) and which is approved by the Minister or such person as he may appoint.

---

**Appendix F – Representation as to accredited investor/ institutional investor status**

---

**The ICAV and the Investment Manager reserve the right to request such further information and documentation to ascertain a Subscriber's status from time to time.**

1. Please tick  the appropriate item(s) below, indicating the basis on which the applicant and (in the case where the applicant is a financial institution, broker or other person applying to acquire Shares on behalf of its clients) each of the applicant's clients qualifies as an "accredited investor" or "institutional investor", as defined under the Securities and Futures Act 2001 of Singapore and the subsidiary legislation relating thereto.

Accredited Investors

- (a) an individual –
- (A) whose net personal assets exceed in value S\$2 million (or its equivalent in a foreign currency) or such other amount as the Monetary Authority of Singapore ("MAS") may prescribe in place of the first amount.
- For the purpose of this category, in determining the value of net personal assets, the value of the individual's primary residence: (i) is to be calculated by deducting any outstanding amounts in respect of any credit facility that is secured by the residence from the estimated fair market value of the residence; and (ii) is taken to be the lower of the following: (x) the value calculated under paragraph (i); or (y) S\$1 million;
- (B) whose financial assets (net of any related liabilities) exceed in value S\$1 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount, where "financial asset" means –
- (i) a deposit as defined in Section 4B of the Banking Act 1970 of Singapore;
- (ii) an investment product as defined in section 2(1) of the Financial Advisers Act 2001 of Singapore; or
- (iii) any other asset as may be prescribed by regulations made under Section 341 of the Securities and Futures Act 2001 of Singapore; or
- (C) whose income in the preceding 12 months is not less than S\$300,000 (or its equivalent in a foreign currency) or such other amount as the MAS may prescribe in place of the first amount;
- (b) a corporation (as defined in Section 4(1) of the Companies Act 1967 of Singapore) with net assets exceeding S\$10 million in value (or its equivalent in a foreign currency) or such other amount as the MAS may prescribe, in place of the first amount, as determined by –
- (A) the most recent audited balance sheet of the corporation; or
- (B) where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the corporation certified by the corporation as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet, which date shall be within the preceding 12 months;
- (c) the trustee of –
- (A) any trust all the beneficiaries of which are accredited investors within the meaning of Section 4A(1)(a)(i), (ii) or (iv) of the Securities and Futures Act 2001 of Singapore;

- (B) any trust all the settlors of which –
  - (i) are accredited investors within the meaning of Section 4A(1)(a)(i), (ii) or (iv) of the Securities and Futures Act 2001 of Singapore;
  - (ii) have reserved to themselves all powers of investment and asset management functions under the trust; and
  - (iii) have reserved to themselves the power to revoke the trust; or
- (C) any trust the subject matter of which exceeds S\$10 million (or its equivalent in a foreign currency) in value;

For the avoidance of doubt, a trust in this item (c) includes a bare trust.

- (d) an entity (other than a corporation) with net assets exceeding S\$10 million (or its equivalent in a foreign currency) in value;  
For the purpose of this category, an "entity" includes an unincorporated association, a partnership and the government of any state, but does not include a trust;
- (e) a partnership (other than a limited liability partnership within the meaning of the Limited Liability Partnerships Act 2005 of Singapore) in which each partner is an accredited investor;
- (f) a corporation (as defined in Section 4(1) of the Companies Act 1967 of Singapore) the entire share capital of which is owned by one or more persons, all of whom are accredited investors;
- (g) a person who holds a joint account with an accredited investor, in respect of dealings through that joint account; or
- (h) such other person as the MAS may prescribe. Please provide the basis for the Subscriber's  
investor: \_\_\_\_\_  
status as an accredited

#### Institutional Investors

- (a) the Government of Singapore;
- (b) a statutory board as may be prescribed by regulations made under Section 341 of the Securities and Futures Act 2001 of Singapore;
- (c) an entity that is wholly and beneficially owned, whether directly or indirectly, by a central government of a country and whose principal activity is –
  - (A) to manage its own funds;
  - (B) to manage the funds of the central government of that country (which may include the reserves of that central government and any pension or provident fund of that country); or
  - (C) to manage the funds (which may include the reserves of that central government and any pension or provident fund of that country) of another entity that is wholly and beneficially owned, whether directly or indirectly, by the central government of that country;
- (d) any entity –
  - (A) that is wholly and beneficially owned, whether directly or indirectly, by the central government of a country; and
  - (B) whose funds are managed by an entity mentioned in sub-paragraph (c) above;
- (e) a central bank in a jurisdiction other than Singapore;
- (f) a central government in a country other than Singapore;
- (g) an agency (of a central government in a country other than Singapore) that is incorporated or established in a country other than Singapore;
- (h) a multilateral agency, international organisation or supranational agency as may be

prescribed by regulations made under Section 341 of the Securities and Futures Act 2001 of Singapore;

- (i) a bank that is licensed under the Banking Act 1970 of Singapore;
- (j) a merchant bank that is approved as a financial institution under Section 28 of the Monetary Authority of Singapore Act 1970 of Singapore;
- (k) a finance company that is licensed under the Finance Companies Act 1967 of Singapore;
- (l) a company or co-operative society that is licensed under the Insurance Act 1966 of Singapore to carry on insurance business in Singapore;
- (m) a company licensed under the Trust Companies Act 2005 of Singapore;
- (n) a holder of a capital markets services licence;
- (o) an approved exchange;
- (p) a recognised market operator;
- (q) an approved clearing house;
- (r) a recognised clearing house;
- (s) a licensed trade repository;
- (t) a licensed foreign trade repository;
- (u) an approved holding company;
- (v) a Depository as defined in Section 81SF of the Securities and Futures Act 2001 of Singapore;
- (w) an entity or a trust formed or incorporated in a jurisdiction other than Singapore, which is regulated for the carrying on of any financial activity in that jurisdiction by a public authority of that jurisdiction that exercises a function that corresponds to a regulatory function of the MAS under the Securities and Futures Act 2001 of Singapore, the Banking Act 1970 of Singapore, the Finance Companies Act 1967 of Singapore, the Monetary Authority of Singapore Act 1970 of Singapore, the Insurance Act 1966 of Singapore, the Trust Companies Act 2005 of Singapore, or such other Act as may be prescribed by regulations made under Section 341 of the Securities and Futures Act 2001 of Singapore;
- (x) a pension fund or collective investment scheme, whether constituted in Singapore or elsewhere;
- (y) a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors;
- (z) the trustee of such trust as the MAS may prescribe, when acting in that capacity;
- (aa) a designated market-maker (as defined in the Second Schedule to the Securities and Futures (Licensing and Conduct of Business) Regulations);
- (bb) a headquarters company or Finance and Treasury Centre which carries on a class of business involving fund management, where such business has been approved as a qualifying service in relation to that headquarters company or Finance and Treasury Centre under Section 43E(2)(a) or 43G(2)(a) of the Income Tax Act 1947 of Singapore, as the case may be;
- (cc) a person who undertakes fund management activity (whether in Singapore or elsewhere) on behalf of not more than 30 qualified investors (as that term is defined under the Second Schedule to the Securities and Futures (Licensing and Conduct of Business) Regulations of Singapore);
- (dd) a Service Company which carries on business as an agent of a member of Lloyd's (as defined in Regulation 2 of the Insurance (Lloyd's Asia Scheme) Regulations (Rg 9) of Singapore);
- (ee) a corporation the entire share capital of which is owned by an institutional investor or by persons all of whom are institutional investors;
- (ff) a partnership (other than a limited liability partnership within the meaning of the

Limited Liability Partnerships Act 2005 of Singapore) in which each partner is an institutional investor; or

- (gg) such other person as the MAS may prescribe. Please provide the basis for the Subscriber's status as an institutional investor: \_\_\_\_\_

Effective 8 April 2019, the Monetary Authority of Singapore ("MAS") has introduced enhanced safeguards when dealing with accredited investors in Singapore. The following sections 2, 3, 4 and 5 are only applicable to accredited investors in Singapore. Please review and fill out as applicable.

## 2. Accredited Investor Opt-In Notice

**Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.**

1. Based on your on-boarding form and accompanying supporting documents, we have assessed you as satisfying the criteria in the definition of 'Accredited Investor' in section 4A(1)(a) of the Securities and Futures Act (SFA) or a person prescribed under regulation (2)(2)(d) of the Securities and Futures (Classes of Investors Regulations 2018).
2. Should you wish for us to treat you as an Accredited Investor, you need to opt-in to being treated as such, by sending us your consent in the format provided in Section 3 to this Notice.
3. You may however, at any time after consenting to being treated as an Accredited Investor, notify us in the format of the Opt-Out Declaration in Section 4, that you no longer consent to be treated as an 'Accredited Investor', giving us at least 30 days' notice to give effect to your decision.
4. We will upon the passage of the above 30-days' notice, terminate our treatment of you as an Accredited Investor.
5. Summary of loss of regulatory protections applicable to Accredited Investors-see Section 5.
6. Should you opt-in to being treated as an Accredited Investor, we may offer you certain investment opportunities which are only available to Accredited Investors. Please be aware that in the event you wish to opt-out of being treated as an Accredited Investor, we will need to terminate our relationship with you as our regulatory status as a fund management company licensed by the MAS servicing only accredited/institutional investors (LFMC(A/I)), does not allow us to service retail investors.
7. Transactions you have entered into with us prior to the passage of the 30-day notice period in your opt-out notice to us, will not however, be impacted.

**3. Appendix I-Opt-In Declaration**

[Individual] I/[Entity] On behalf of the abovenamed entity, I:

- 1. have read and understood the contents of the Accredited Investor (Individual) Opt-In Notice;
- 2. certify that the investor understands the consequences of consenting to being treated as an Accredited Investor and hereby consents to your treating it as an Accredited investor;
- 3. certify that the investor is aware that it may withdraw this consent at any point in time after which subject to any notice period, you must not treat it as an Accredited Investor;
- 4. declare that all statements made in this Accredited Investor Opt-In Declaration are, to the best of the investor's knowledge and belief, true, correct, and complete;
- 5. For nominee accounts only: We confirm that we have determined that all underlying investors investing in your fund are accredited investors as defined by our regulatory authority. We will inform you immediately if we become aware of any change in the accredited investor status of these investors;
- 6. certify that I am the investor identified above, or I am authorised to sign on behalf of the investor for all the accounts to which this form relates. [*For authorized signatories:* Please see attached the original/certified true copy of the relevant document granting me such authorization.]
- 7. confirm that the investor understands that the contents of the Accredited Investor Opt-In Notice should not be regarded as legal or regulatory advice. If there is any doubt or questions about any aspect of the notice, the investor has been given the opportunity of obtaining independent legal advice.

Signature: \_\_\_\_\_

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

Designation (if applicable): \_\_\_\_\_

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

**4. Appendix II-Opt-Out Declaration**

[Individual] I/[Entity] On behalf of the abovenamed entity, I:

- 1. have read and understood the contents of the Accredited Investor Opt-In Notice and hereby give you 30- days written notice from the date hereof, that the investor wishes to opt-out of being treated as an Accredited investor;
- 2. certify that the investor is aware of the consequences of opting out of being treated as an Accredited Investor including that you may have to terminate our relationship as you cannot serve non-accredited/institutional investors as per your regulatory licensing conditions;
- 3. declare that all statements made in this Accredited Investor Opt-Out Declaration are, to the best of the investor's knowledge and belief, true, correct, and complete;
- 4. certify that I am the investor identified above, or I am authorized to sign on behalf of the investor, for all the accounts to which this form relates. *[For authorized signatories: Please see attached the original/certified true copy of the relevant document granting me such authorization.]*
- 5. confirm that the investor understands that the contents of the Accredited Investor Opt-In Notice should not be regarded as legal or regulatory advice. If there is any doubt or questions about any aspect of the notice, the investor has been given the opportunity of obtaining independent legal advice.

Signature: \_\_\_\_\_

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

Designation (if applicable): \_\_\_\_\_

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

## 5. Appendix III-Summary of Loss of Protections

As an Accredited Investor, you will lose the following protections accorded to retail investors under the SFA and related regulations as we are not required to fulfill certain requirements under the SFA when dealing with Accredited Investors. A summary of the key protections you will lose under the SFA as an Accredited Investor are:

- Prospectus requirements for initial and secondary offerings of securities/securities-based derivatives and collective investment schemes and related lock-in periods, will not apply to you;
- For debt issuances, we are not required to appoint a trustee for the holders of debentures representing their interests;
- The full scope of restrictions on offering-related advertisements applicable to retail investors, will not be extended to you;
- While retail customers have legal and beneficial title to the trust/custody accounts holding their moneys and assets, we are not required to extend that level of protection to the moneys/assets received on your account. You will not also be eligible to receive disclosures in writing prior to the deposit of your monies in a trust account or assets in a custody account, in relation to moneys/assets received on your account;
- We are subject to lesser restrictions on entering into contracts and arrangements to effect a transfer of right and title of moneys/assets received from you to ourselves or other persons, than if you had been a retail customer or on withdrawals of moneys/assets from your trust/custody accounts;
- We are not required to explain the risks of nor obtain your consent to mortgaging, charging etc. of your assets;
- We are not required to give you a risk disclosure document nor obtain your acknowledgement before soliciting or entering into an agreement for managing/guiding your trading account by means of a systematic program;
- The limitations on provisional and temporary representatives meeting and communicating with retail customers only if accompanied by an appointed representative, director, officer of the principal, does not apply in relation to Accredited Investor customers;
- We may not be required to explain the risks involved in the lending of your specified products when we lend or arrange for the custodian to lend your assets;
- We are not required to send you a statement of account on a monthly basis, subject to a few conditions;
- We are not required to post collateral when borrowing specified products from you and any written agreement with you thereof will contain limited details;
- If we have subscribed to specified products pursuant to an underwriting /sub-underwriting agreement, we will not be restricted by the initial resale restrictions applicable to retail customer offerings;
- Our communications will not be subject to retail regulatory requirements applicable for example, to product advertisements;
- We are not required to have a reasonable basis for recommending an investment product to an Accredited Investor and we can assume you have the necessary level of knowledge and experience to understand its risks; and
- We are not required to conduct product due diligence for suitability, before selling or marketing any new product to an Accredited Investor.

**Appendix G – Designated tax offences questionnaire**

**Instructions**

Under the Corruption, Drug Trafficking and other Serious Crimes (Confiscation of Benefits) Act 1992 of Singapore ("**CDSA**") and the Monetary Authority of Singapore's Notice to Capital Markets Services Licensees on Prevention of Money Laundering and Countering the Financing of Terrorism [MAS Notice SFA04-N02] ("**MAS AML/CFT Notice**"), the Investment Manager is required to prevent the holding of assets and to detect and deter proceeds from serious tax crimes that are designated as money laundering predicate offences. Your responses to the Designated Tax Offences Questionnaire below will be used by the Investment Manager, amongst other factors, to determine: (a) whether the Subscriber may invest in the Fund; and (b) where an offer by the Subscriber to subscribe for Participating Shares in the Fund is accepted, whether the Investment Manager is required to file a Suspicious Transaction Report ("**STR**") under the CDSA.

Please respond to each question by checking the applicable box.

**Definitions**

"**Income Tax**" means any tax levied by any government, including state and local governments, on individual or business income.

"**Consumption Tax**" means any tax levied by any government, including state and local governments, on goods and services, including sales tax, value-added tax or such similar taxes by any other name.

<b>Part I. Has the Subscriber been (i) convicted by a court of law in any jurisdiction, and/or (ii) the subject of or is the Subscriber currently under any investigation by any tax authority, for any of the following:</b>	<b>YES</b>	<b>NO</b>
1. Willfully with intent to evade Income Tax or to assist any other person to evade Income Tax:		
(a) omitted from a return made to any tax authority any income which ought to have been included in such tax return?	<input type="checkbox"/>	<input type="checkbox"/>
(b) made any false statement or entry in any return made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(c) given any false answer, whether verbally or in writing, to any question or request for information asked or made by any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(d) where the Subscriber is not required to file a tax return in any jurisdiction, has made any false statement or provided any false information in any notification given to the tax authority of that jurisdiction in relation to the understatement or omission of income or in relation to any tax deduction or tax relief that is excessive or wrongly granted?	<input type="checkbox"/>	<input type="checkbox"/>
(e) where the Subscriber is not required to file a tax return in any jurisdiction and has a duty to give notice or otherwise inform the tax authority of that jurisdiction regarding the understatement or omission of income or in relation to any tax deduction or tax relief that is excessive or wrongly granted, failed to give such notice or so inform that tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(f) prepared, maintained or authorized the preparation or maintenance of any false books of account or other records or falsified or authorized the falsification of any books of account or records?	<input type="checkbox"/>	<input type="checkbox"/>

(g)	made use of any fraud, art or contrivance or authorized the use of any such fraud, art or contrivance?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Willfully with intent to evade Consumption Tax or to assist any other person to evade Consumption Tax:		
(a)	omitted or understated any output tax or overstated any input tax in any return made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(b)	made any false statement or entry in any return, claim or application made to any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(c)	given any false answer, whether verbally or in writing, to any question or request for information asked or made by any tax authority?	<input type="checkbox"/>	<input type="checkbox"/>
(d)	prepared, maintained or authorized the preparation or maintenance of any false books of account or other records or falsified or authorized the falsification of any books of account or records?	<input type="checkbox"/>	<input type="checkbox"/>
(e)	made use of any fraud, art or contrivance (including, for the purpose or with the effect of evading Consumption Tax, and without the permission of the relevant tax authority: (i) destroying, damaging, erasing or altering any data stored in, or used in connection with a computer; (ii) causing such destruction, damage, erasure or alteration; or (iii) interfering with, interrupting or obstructing the lawful use of that computer or the data stored in that computer) or authorized the use of any such fraud, art or contrivance?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Willfully with intent to evade Consumption Tax:		
(a)	caused, attempted to cause, did any act with intent to cause or defaulted in the performance of any duty imposed upon the Subscriber by the relevant Consumption Tax legislation with intent to cause the refund to the Subscriber by the relevant tax authority of any amount in excess of the amount properly so refundable to the Subscriber?	<input type="checkbox"/>	<input type="checkbox"/>
<b>Part II. (For non-individual subscribers only) - Do you (the authorized signatory) have any <u>personal knowledge</u> or are there any <u>reasonable grounds to suspect</u> that the Subscriber has committed any of the matters in Part I:</b>		<b>YES</b>	<b>NO</b>
If the response is affirmative, please indicate which matter is referred to:  _____  _____  _____		<input type="checkbox"/>	<input type="checkbox"/>

***If your answer to any of the above questions is "YES", please provide details in a separate sheet.***

**BASED ON YOUR ANSWERS TO THE ABOVE QUESTIONS, THE ADMINISTRATOR, THE ADMINSTRATOR'S DELEGATE AND/OR THE INVESTMENT MANAGER MAY REQUIRE ADDITIONAL INFORMATION AND/OR DOCUMENTATION AND, BASED ON SUCH INFORMATION AND/OR DOCUMENTATION, WILL DETERMINE WHETHER THE FUND MAY ACCEPT THE SUBSCRIBER'S OFFER TO SUBSCRIBE FOR PARTICIPATING SHARES IN THE FUND AND, WHERE SUCH OFFER TO SUBSCRIBE IS ACCEPTED, WHETHER AN STR MUST BE FILED IN SINGAPORE.**

**THE SUBSCRIBER UNDERSTANDS THAT THE ADMINISTRATOR, THE ADMINISTRATOR'S DELEGATE AND/OR THE INVESTMENT MANAGER WILL BE RELYING ON THE ACCURACY AND COMPLETENESS OF THE STATEMENTS MADE AND INFORMATION PROVIDED BY THE SUBSCRIBER HEREIN AND REPRESENTS AND WARRANTS THAT SUCH STATEMENTS AND INFORMATION MAY BE RELIED UPON BY THE ICAV, THE FUND, THE MANAGER, THE INVESTMENT MANAGER, THE ADMINISTRATOR, THE ADMINISTRATOR'S DELEGATE AND THEIR AFFILIATES AND ANY ENTITIES OR MANAGERS WITH WHICH THE FUND INVESTS, IN COMPLYING (OR ATTEMPTING TO COMPLY) WITH THE CDSA AND THE MAS AML/CFT NOTICE.**

**FOR SO LONG AS THE SUBSCRIBER OWNS PARTICIPATING SHARES IN THE FUND, THE SUBSCRIBER AGREES TO NOTIFY THE INVESTMENT MANAGER AND THE ADMINISTRATOR'S DELEGATE IMMEDIATELY IN WRITING IF ANY OF THE INFORMATION CONTAINED IN THIS DESIGNATED TAX OFFENCES QUESTIONNAIRE IS NO LONGER ACCURATE AS OF ANY DATE AND SHALL IMMEDIATELY PROVIDE CORRECTED INFORMATION TO THE INVESTMENT MANAGER AND THE ADMINISTRATOR'S DELEGATE.**

**THE INVESTMENT MANAGER AND/OR THE ADMINISTRATOR'S DELEGATE IN THEIR ABSOLUTE DISCRETION MAY TREAT A FAILURE TO FULLY COMPLETE OR RETURN THIS QUESTIONNAIRE AS REASONABLE GROUNDS FOR DECLINING TO ACCEPT THE SUBSCRIBER'S OFFER TO SUBSCRIBE PARTICIPATING SHARES IN THE FUND.**

---

---

**Appendix H – Identification Information Form**

---

---

**Identification Information Form for Individuals**

<b>Last Name</b>			<b>First Name</b>	
<b>Nationality</b>	<b>Country of Birth</b>	<b>Date of Birth</b>	<b>Language</b>	<b>Profession</b>

**Legal domicile** (Please provide exact **residential** address for tax reporting purposes -no P.O. boxes)

--

**Contact Details**

<b>Home</b>	<b>Office</b>	<b>Cellular</b>	<b>e-mail</b>

**Employer (if applicable) & Nature of Business**

If retired, please state this but also note your previous Employer & nature of business that provided your main Source of Wealth as below.

--

**Source of Wealth** (what transaction or business has generated the funds for this investment e.g. inheritance, sale of business, \$XX annual salary, etc.)

--

**Political Connections** (please circle appropriate answer) **YES / NO**

A political connection means any important public positions which any **beneficial owner/director or any person clearly related to any beneficial owner/director** may hold These positions may include, but are not limited to, heads of state, ministers and deputy ministers, influential public or governmental officials, senior officials in major political parties, judges, military commanders, etc... Please list any such connections below.

--

**Identification Information Form for Companies and Partnerships**

The signatory/signatories to this document hereby declare(s) that the beneficial owner(s) and director(s)/ trustee(s)/general partner(s) of \_\_\_\_\_ [Name of company/partnership] is/are:

<b>Beneficial Owner(s)/General Partner(s)*</b>	<b>Director(s)</b>
Last Name: First Name: Date of Birth/Incorporation/Establishment: Place of Birth/Incorporation/Establishment: Nationality (if different for individuals): Occupation/Business: Source of Wealth:	Last Name: First Name: Date of Birth/Incorporation/Establishment: Place of Birth/Incorporation/Establishment: Nationality (if different for individuals): Occupation/Business:
Last Name: First Name: Date of Birth/Incorporation/Establishment: Place of Birth/Incorporation/Establishment: Nationality (if different for individuals): Occupation/Business: Source of Wealth:	Last Name: First Name: Date of Birth/Incorporation/Establishment: Place of Birth/Incorporation/Establishment: Nationality (if different for individuals): Occupation/Business:

\* Please identify all individuals and entities that have ownership of 10% or more. If you require more space, please provide the same information on a separate sheet. For all entities with 10% ownership or more, please identify the natural person(s) that have ownership of 10% or more for each of those entities on a separate sheet.

**General Nature of the Company/Partnership's operations**

**Political Connections** (please circle appropriate answer) **YES / NO**

A political connection means any important public positions which any **beneficial owner/director or any person clearly related to any beneficial owner/director** may hold. These positions may include, but are not limited to, heads of state, ministers and deputy ministers, influential public or governmental officials, senior officials in major political parties, judges, military commanders etc. Please list any such connections below.

Name:	Political Connection:
Name:	Political Connection:

**Bearer Share Company** (please circle appropriate answer) **YES / NO**

A Bearer share company is one where the shares are not registered and may be transferable between parties. If you have answered Yes, please contact the Administrator immediately. Further information is required

**TO BE COMPLETED BY THE ICAV / INVESTMENT MANAGER ONLY**

**RV CAPITAL UCITS FUND ICAV**

The foregoing is hereby accepted, subject to the conditions set forth herein.

Name of Subscriber:

---

---

---

---

Name and Designation of Signatory from Fund/Investment Manager:

---

---

Dated:

---