

## **Compliance Guidelines- Individuals**

If you have any queries when completing the form, please refer to the information below which gives additional guidance about each section.

### **1. APPLICATION FORM**

#### INFORMATION ON THE SUBSCRIBER SECTION:

→ **Name:**

This is your first name

→ **Surname:**

This is your family name/married name

→ **Permanent Residential Address:**

This is the actual address where you reside.

→ **Identification Number, Nationality, Place of Birth, and Date of Birth:**

All details required for this section are usually found on your passport or personal identification document.

→ **Email and Phone number:**

Contact details where we would be able to contact you. This is the email address where you would like any correspondence such as statements to be sent.

#### BENEFICIAL OWNER

Hereby declares that the person(s) (individual(s)/partnership(s)/legal entity/ies) listed below is/are the beneficial owner(s) of the assets deposited.

#### FATCA AND CRS Declaration Form

Please provide again your personal identification data, besides, confirm the country where you are a tax resident, as well as your Tax Identification Number (TIN) for each country.

The TIN is a combination of letters and/or numbers assigned to the individual by their country of residence (or its tax authorities). Please note, we are not able to provide tax advice or help in defining your tax residency. If you are unsure of your tax residency, please contact your tax adviser or local tax authority.

#### PEP DECLARATION FORM

Please provide details of any prominent public functions you, a family member or a close associate hold, or have held with a state or international body/organization. Please refer to the definition of a PEP included in the PEP declaration form.

## **2. DEALING ORDER FORM**

### **SUBSCRIBER INFORMATION**

→ **Name:**

This is your first name

→ **Surname:**

This is your family name/married name

→ **Residential Address:**

This is the actual address where you reside.

→ **Identification Number, Nationality, Place of Birth and Date of Birth:**

All details required for this section are usually found on your passport or personal identification document.

→ **Email and Phone number:**

Contact details where we would be able to contact you.

### **SUBSCRIPTION INFORMATION**

- **Subscription amount:** Please state the total amount to be invested as well as the currency of the funds.

### **SOURCE OF WEALTH AND OF FUNDS DECLARATION**

Please confirm the source of the funds in the first section, additionally please provide us with details of the origin of the funds. For each subscription made, a detailed description on the source of funds used for the investment for example, earning from occupation or employment, investment income, inheritance, activity or event etc., together with supporting documentary evidence for the declared source of funds, must be provided.

Hereunder, for the initial subscription made, a brief description of the source of wealth (i.e. the source of the total accumulated net worth together with supporting documentary evidence for the declared source of wealth) would be needed to describe, besides, please tick the most appropriate origin of your source of wealth. Kindly give further details in the space provided if you have ticked "Other".

If you have ticked "Self Employed" please provide your nature of work, if you are retired or unemployed, please describe your last occupation and give details of your last employer in the space provided.

### **3. QUALIFYING INVESTOR DECLARATION FORM**

- Please state the investor name and confirm the nature of Business/work according to your expertise, experience and knowledge to be in a position to make my / our / his / her / their own investment decisions and understand the risks involved.

### **4. DUE DILIGENCE DOCUMENTATION REQUIRED FOR APPROVAL OF THE INVESTMENT:**

Certified true copy of identification documents:

- ✓ **For Passports** – please photocopy the pages of the passport carrying the photograph, signature, issue and expiry date.
- ✓ **For National ID cards** - please photocopy both sides of the original document in the same page.
- ✓ **Proof of your residential address**- Residential address can be confirmed by supplying one of the following documents:
  - Bank statement (of an active account)
  - Utility Bill issued in relation to services linked to the residential property that is less than 6 months old, i.e. Gas, Electricity, Water or Telephone; (mobile phone bills are not acceptable); Bank Reference Letter
  - Correspondence from a central or local government authority, department or agency, an official conduct certificate (in this case please provide the original document) or
  - Any other government-issued document.

Please either supply the original document, or if you prefer, you can photocopy both sides of the document and arrange for it to be certified by a Notary or a Lawyer before submitting it to us. The documents listed above can be used as proof of Residential address, however, the same document cannot be used as both proof of identity and proof of residential address – two separate documents must be supplied.

The certifier will need to write the following statement and include the following information:

- ✓ Certification of identity documents:

*“I, xxxxxxx (Lawyer’s / Notary’s name), do certify that the present is a true copy of the original and has been seen and verified by me and that the photo is true likeness of xxxxxxx” (name of the investor)*

*Signature*

*Name/Surname*

*Profession, designation or capacity*

*Address of the Law firm*

*Contact details*

*Date*

*Company stamp*

✓ Certification of other documents:

*"I, xxxxxxx (Lawyer's / Notary's name), do certify that the present is a true copy of the original document and has been seen and verified by me".*

*Signature*

*Name/Surname*

*Profession, designation or capacity*

*Address of the Law firm*

*Contact details*

*Date*

*Company stamp*

**WARNINGS:**

Dear Investor,

Kindly consider the below statements to proceed with the subscription request:

- *The Sub-Fund is only available to Qualifying Investors as defined in the Offering Memorandum. Accordingly, the investors in the Sub-Fund are subject to a minimum investment requirement of EUR 100,000, or the EUR equivalent of USD 100,000, for [Class A/ Class B ... - EUR/USD/etc] -each sub-fund has its specifications in terms of classes, currencies, etc...- Capitalisation Participating Shares and an absolute minimum holding requirement of EUR 100,000, or the EUR equivalent of USD 100,000. The amount invested cannot fall below this amount except in so far as this is due to a reduction in the Sub-Fund's NAV. Once the minimum investment requirement is satisfied, investors can make additional investments in the Sub-Fund of an amount of not less than EUR 1,000 in respect of [Class A/ Class B ... - EUR/USD/etc] -each sub-fund has its specifications in terms of classes, currencies, etc...- Capitalisation Participating Shares or currency equivalent.*
- *In the case of joint-investors, each investor should individually satisfy the definition of a "Qualifying Investor", unless such joint- investors are spouses, in which case the spouse not qualifying as a "Qualifying Investor" must provide a written declaration granting their consent to the investment in the Sub-Fund.*



- *If the requirements above are complied, please note that the completed subscriptions forms as well as the due diligence documentation need to be sent together to the Administrator, by courier and by fax or email, to the following address:*

Trident Fund Services Malta Limited

Orange Point Building, Second Floor, Dun Karm Street, Birkirkara By-Pass,  
Birkirkara, BKR 9037, Malta

Tel: +356 21 434525/ Fax: +356 21 434595

Email: [audentiacapital@tridenttrust.com](mailto:audentiacapital@tridenttrust.com)

- Please proceed to transfer the funds detailed in your Request to the bank account indicated in the Subscription Forms already filled in. Please note that the Subscription will not be accepted until the funds have arrived at the bank account and the due diligence process has been completed.
- Please note that your subscription will be accepted and the Contract Note issued once all the steps described above have been properly undertaken and approved by Trident (the Funds' Administrator).
- Please note that if the funds transferred are not coming from the investors' bank account, please note that it would be considered as Third-Party Payment. Consequently, the funds will be returned, and the subscription will be not accepted until the Funds are transferred again from a bank account belonging to the Corporate/Individual that has submitted the Request.
- In addition, kindly note that your application will be denied if the information provided is not correctly certified or if the Subscription Forms are not correctly fulfilled. In that case, you will receive an email by the Administrator specifying the main error of the subscription documents.
- In the case the Investor would like to redeem the shares, *Shareholders may redeem their Investor Shares in accordance with the Offering Supplement of the Fund.*
- *Shares shall be redeemed at the price corresponding to the Net Asset Value per Share on the Valuation Day corresponding to the relevant Dealing Day. Requests to redeem Shares received after the aforementioned date shall be redeemed at the price corresponding to the next Valuation Day.*
- *Payment of redemption proceeds will generally be made by wire transfer to the Shareholder's account no later than fifteen Business Days from the applicable Dealing Day. Any bank transfer fees shall be borne by the Shareholder.*
- *Investors are referred to the Offering Memorandum where the procedures relating to the redemption of Shares and the conditions applicable thereto are described in further detail.*

- No redemption requests will be accepted if the request does not come from the same corporate/individual that executed the subscription. For example, if the Subscriber is a Corporate, that company as well as the bank account of that company from which the funds were initially transferred will have to remain in place during all the life of the investment. Redemptions will always be transferred to the original bank account that funds were originally sent from to execute the subscription.