

APPLICATION FORM (CORPORATE)

Audentia Capital NAIF SICAV Plc.

an open-ended collective investment scheme organized as a multi-fund limited liability company with variable share capital registered under the laws of Malta ("the Company")

PLEASE FILL IN THE FORM ON SCREEN AND PRINT, OR WRITE IN BLOCK CAPITALS

If there is more than one joint Subscriber, please attach additional contact details for such investors to this Application Form. There may not be more than four joint Subscribers. In case of joint Subscribers, all investors must sign the present Application Form. However, the Administrator shall only recognize one single Subscriber appointed to exercise the rights relative to each of the Shares of the Company. Unless otherwise decided by the Board of Directors of the Company, the investor entitled to exercise these rights shall be the Subscriber whose name appears first on the present Application Form.

MAILING ADDRESS		
This Application Form including the Dealing Order Form must be sent by email and by standard mail to:		
Email:	audentiacapital@tridenttrust.com	
Mailing Address:	Audentia Capital NAIF SICAV PLC, Orange Point Building, Second Floor, Dun Karm Street, Birkirkara BKR 9037 Malta	
INFORMATION OF THE SUBSCRIBER ("THE CUSTOMER")		
Company Name:	Contact Person:	
Registered Address:	Post Code:	City/Country:
Date of registration:	Registration Number:	
Commercial business address (if different from the registered address):		
Phone number:	Fax:	Email:
Website:	Other information:	
CORRESPONDING ADDRESS (IF DIFFERENT FROM THE ABOVE)		
Address:	Post Code:	City/Country:
Contact name:		
Phone number:	Fax:	Email:
Type of Organisation		
<input type="checkbox"/> Private Company – Holding Company <input type="checkbox"/> Private Company – Trading Company <input type="checkbox"/> Other Private company: <i>(please advise)</i> _____ <input type="checkbox"/> Public Company – Listed <input type="checkbox"/> Public Company – Non-listed <input type="checkbox"/> Financial Institution investing on own behalf		



- Financial Institution investing o.b.o. other customers (for ex. Pooled accounts)
- Foundation
- Association
- Voluntary Organization/Charity
- Trustee/Trust
- Government Agency/Body or owned by any government agency/body
- Investment Vehicle – Licensed/Regulated
- Investment Vehicle –self-regulated
- Other: (please specify) _____

Nature of Business (Kindly provide details of the nature of the business):

In the case of Trusts, please also provide the following details:

- the nature of the trust e.g. discretionary trust, testamentary trust, bare trust etc...;
- the object and purpose of the trust e.g. wealth management, estate planning etc...; and
- the country of administration and the proper (or applicable) law;

In the case of Foundations and Associations, please also provide the following details:

- the nature, object and purpose of the foundation/association e.g. discretionary foundation, fixed interest foundation, foundation set up by will, association set up to promote the interests of a particular group, etc...;
- the country of administration and the proper (or applicable) law;

If the Company trades in any of the following, kindly mark accordingly (if *applicable*):

- Arms trading and defense industry
- Automotive dealer/parts/repairs
- Boat Dealer
- Cash Intensive/Traded business (ex. Restaurants, Laundromats, etc..)
- Dual Use goods
- Fine Art/Luxury Goods
- Gaming/gambling/betting
- General Import/Export
- Construction
- Pharmaceuticals and health care
- Mining/Extractive industries
- Public procurement
- Real Estate Business
- Tyre Industry
- Virtual currencies
- Unregulated/unlicensed money service business

SOURCE OF WEALTH

Kindly provide a description of how the wealth of the company was accumulated (ex. Trading profits, loans received, contributions, transfer of assets, dividends from subsidiaries, investment income etc...)

BENEFICIAL OWNER

(First time Subscribers must complete the following, sign and submit it in original for orders to be accepted.)

In my/our capacity as (tick and complete as appropriate):

A representative / attorney of the account holder (submit power of attorney or authorization); or

A regulated professional intermediary subject to customer identification obligations, in accordance with the anti-money laundering laws of Malta, of the assets (to be) recorded in the Company's register of Shareholders (submit a reliance letter and the following details:

- a) Identification details of the customer; and
- b) Identification, where applicable, of the ultimate beneficial owner; and
- c) Information on the purpose and intended nature of business relationship; and
- d) the business and risk profile of the customer)
- e) confirmation if any of the natural persons involved with the underlying investor(s) are PEPs

I / We confirm that the following person(s) is (are) the beneficial owner(s) of the assets invested in the Company*:

Name:		Surname:	
Address:		Post Code:	City/Country:
Place of Birth:	ID Number:	Nationality:	
Phone number:	Fax:	Email:	
Website:	Date of birth:	Other information:	

The above individual is the ultimate beneficial owner of % of the Company/Fund.

* if the invested assets will have more than two (2) beneficial owners, then further copies of this page must be completed as required.

In acting as a regulated professional intermediary in relation to this subscription, we have identified the ultimate beneficial owner(s) of the funds invested in the Company and have applied all of our usual and customary due diligence procedures to such ultimate beneficial owner(s), with satisfactory results. We further confirm, that, if required to do so either by the Company, the Administrator or by any competent government body, as a result of the application of the Maltese anti-money laundering rules or any amendments thereto, we will disclose the ultimate beneficial owner(s) in regard to this subscription to the Company, the Administrator or the competent government body respectively. I/We the undersigned hereby declare that the declarations made above show the true state of affairs at the moment this declaration is made and that we will inform the Company and the Administrator without delay if the above declarations are no longer complete and accurate in all respects.

REPRESENTATIONS AND WARRANTIES



1. By signing and submitting this Application Form, I / we will be applying irrevocably for Shares in a Sub-Fund of the Company, subject to the terms of the Offering Memorandum and the Offering Supplement (which I/we confirm I/we have carefully read in full and understood) and the Memorandum and Articles of Association of the Company. I/We have received complete and full information and explanation concerning the risks and restrictions associated with investments in the Shares, and, as a result I/We release the Company from any and all obligation to provide me/us with any additional information. I/We hereby undertake not to perform and/or execute, or cause the execution of, this Application Form should I/We not have fully understood the risks, costs and consequences, including without limitation tax consequences, related to an investment in the Shares of the Company. If at any time, I/we am/are in doubt about the risks regarding this transaction, I/We will immediately seek additional advice from my/our financial advisor.
2. I/We hereby warrant that I/we have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Company, am/are aware of the risks inherent in investing in the assets in which the Company will invest and the method by which these assets will be held and/or traded, and can bear the loss of my/our entire investment in the Company. I/We further confirm that I/we will notify the Administrator in the event that I/we cease to be a Qualifying Investor and will forthwith redeem my/our Shares in the Company or transfer them to a person who is a Qualifying Investor and who is able to make the above warranties.
3. I/We hereby declare that the Shares are not being acquired and will not be held in violation of any applicable laws.

I
4. /we acknowledge that the Company reserves the right to reject any application in whole or in part. I/we also agree that no person is authorized to issue any advertisement, to give any information or to make any representation not contained in the Offering Memorandum and Offering Supplement in connection with the offering, subscription or sale of the Shares in the Company and any advertisement so issued or information or representation not so contained must not be relied upon as having been authorized by or on behalf of the Company. This Application Form does not constitute a solicitation to buy nor an offer to sell, nor shall it be construed as advice in connection to any investment in the Shares. I/We hereby acknowledge that each investment decision in connection with the Shares is made at my/our sole discretion and based on my/our own assessment.
5. The Shares could have tax implications that might impact the corporate tax situation.
6. I/We will pay the full Offer Price in cleared funds on the day indicated on the Dealing Order Form. I/We understand that subscriptions or redemptions paid in currencies other than the designated currency of the Sub-Fund will be exchanged for the designated currency and I/we agree that any exchange losses or costs will be for my/our account.

I
7. /We hereby apply to purchase the Investor Shares in registered form and I/we do not require a certificate for the same Investor Shares.
8. I/We understand that if the Subscriber is a corporation, an authorized officer(s) of that corporation must sign in compliance with its memorandum and articles of association and, by signing this Application Form, the authorized officer(s) hereby confirm and warrant that the corporation is so empowered to invest in the Company and that, if required, the relevant corporate resolution has been passed and executed by the board of directors of the corporation.
9. I/We understand and agree that, if I/we do not supply all of the information required herein, then the Company may accept and invest my/our subscription, at my/our risk on the relevant Dealing Day following receipt of the subscription monies. Furthermore, if I/we subsequently decide to redeem my/our holding, prior to receipt, by the Company, of the information, that redemption instruction will be executed, but the Redemption Proceeds

will be retained in the Company bank account, pending receipt of said information.

10. I/We, acknowledge that due to money laundering requirements the Administrator and/or the Company requires proof of source of funds and wealth (when applicable) before the Application Form can be processed and the Company, the Directors and the Administrator shall be held harmless and indemnified against any loss ensuing due to the failure to process this application, if such information as has been required has not been provided by me/us. I/We agree to indemnify and hold harmless the Company, its Directors and officers, the Administrator, and each of their affiliates and their officers, representatives, members, and employees from and against any and all direct and consequential loss, damage, liability, cost or expense (including reasonable attorneys' and accountants' fees and disbursements, whether incurred in an action between the parties hereto or otherwise) which the Company may incur by reason of or in connection with this Application Form, including any misrepresentation made by myself/ourselves or any of my/our agents, any breach of any declaration, representation or warranty of mine/ours, the failure by me/us to fulfill any covenants or agreements under this Application, reliance on my/our instructions or anti-money laundering obligations. If this form, or any other communication, is sent to the Company and/or the Administrator by fax, e-mail or verbally it will not be deemed to have been received by the Company or Administrator unless receipt is acknowledged in writing by the Administrator. Exceptions are made where the delivery of the communication has been acknowledged by a signed receipt.
11. I/we covenant to co-operate fully and to provide all the necessary information and documentation requested by the Administrator and/or the Company (as the case may be) in order that the Fund may comply with the applicable rules and obligations stemming from the U.S. Foreign Account Tax Compliance Act (FATCA) and/or the applicable Intergovernmental Agreement (IGA) in connection thereto.

I/we confirm that I/we do not fall within any of the following categories:

- a. a partnership or corporation organized in the United States or under the laws of the United States or any State thereof;
- c.
- b. a trust whereby (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.
- c. A foreign entity that has one or more "substantial United States owners" whereby a "substantial United States owner" is a US citizen or resident alien, privately owned US corporation or US Owned Foreign Entity that owns, directly or indirectly:
 - more than 10% of the stock in a corporation (by vote or value), or
 - owns more than 10% of the profits or capital interests in a partnership, or
 - owns more than 10% of the beneficial interests in a trust, or
 - is considered the owner of a trust or a portion of a trust under the grantor trust rules

I/We hereby undertake to observe and be bound by the provisions of the Supplement and Articles of Association of the Company and apply to be entered in the register of members as the holder/holders of the Investor Shares issued in relation to this application.

I/We hereby confirm that this application is based solely on the Offering Supplement to which this Subscription Form was attached together with (where applicable) the most recent annual reports of the Company.

I/We agree that if I/we wish to dispose of any of the Investor Shares I/we will not offer, sell or deliver any of such Investor

Shares directly or indirectly:

- (a) to any person (whether legal or physical) who is ordinarily or permanently resident, or domiciled, or a national of, or incorporated/registered in, US;
- (b) to a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933 as amended (“the U.S. Securities Act”) or as a ‘specified United States person’ or ‘United States owned foreign entity’ in terms of the U.S. Foreign Account Tax Compliance Act (FATCA).
- (c) If as a result of such offer, sale or delivery of Investor Shares either the transferor or the transferee would retain a holding of Investor Shares with an aggregate value at the then current net asset value per Share of less than Euros 75,000.

Applicable to Applicants for business not acting as Principal

N/A (please mark only if the applicant for business in acting as Principal); OR

I declare that I am duly authorized in writing to act on behalf of and represent the Principal as per attached authorizing letter duly signed by the principal herself/himself/itself.

APPLICABLE LAW AND JURISDICTION

This Application Form as well as the Dealing Order Form are subject to the laws of Malta. Any dispute shall be subject to the non-exclusive jurisdiction of the courts of Malta.

PRIVACY POLICY OF AUDENTIA CAPITAL NAIF SICAV, Plc

Data Controller

Audentia Capital NAIF SICAV Plc, (“We”, the “Data Controller”) is registered in Malta under number _____ and it is licensed and regulated by the Malta Financial Services Authority as a Professional Investor Fund, with the above registered address.

How your Personal Data is collected

We collect the personal data about you, or by an authorized party on your behalf (the “Personal Data”) provided by you in our subscription Application Form upon your request.

What is the Personal Data about you that we collect

The Personal Data about you that we collect, and use includes the following your name, address, phone, email address, fax, job, date of birth, nationality, ID number as well as any other Personal Data that you may provide to us from time to time.

What is the purposes of collecting your Personal Data

We shall process the personal data provided by you (the “Personal Data”) when you contact us, for the following purposes:

- Comply with our Anti-money laundering and FATCA legal obligations
- Compilation of the subscription forms, to take any pre-contract steps at your request and/or to perform our contractual obligations to you
- Investment performance details
- Filling of redemption forms

- Effecting redemption for any other purpose required by applicable law, regulation, the order of any court or regulatory authority.
- Sending information (Fact sheet) about other funds upon your request on a case by case basis

Applicable Laws

We collect and process your Personal Data in accordance with applicable laws that regulate data protection and privacy, including the EU General Data Protection Regulation (2016/679) ("DPR", the Malta Data Protection Act and other applicable EU laws (jointly referred "Data Protection Law").

Third parties

We may need to disclose your Personal Data to certain third-party contractors who are handling that data only on our behalf and in accordance with our instructions under contract (called "Data Processors" e.g. our fund Administrator and Depository Bank and/or other organisations that act as our service providers (e.g. IT suppliers or data hosting companies) or professional advisers.

We will ensure that, where relevant, contractual safeguards are implemented to protect your Personal Data when we disclose it to third party processors. For example, we will enter into data processing agreements with restrictions on the use of your personal data.

Your Rights

Under Data Protection Law you also have the following rights, which are exercisable by making a written request to us for the following:

- to access to your personal data
- that we correct Personal Data that we hold about you which is inaccurate or incomplete;
- that we erase your Personal Data without undue delay if we no longer need to hold or process it;
- to object to any automated processing (if applicable) that we carry out in relation to your personal data;
- to object to our use of your personal data for sending funds information upon your request
- to object and/or to restrict the use of your Personal Data for a purpose other than those set out above unless we have a legitimate reason for continuing to use it; or
- that we transfer Personal Data to another party where the Personal Data has been collected with your consent or is being used to perform contact with you and is being carried out by automated means.

If you would like to exercise any of the rights set out above, please contact us at the following email address: confirmations@audenticapital.eu

Consent

Our subscription Application Form shall include a request of your consent to process your Personal Data according to our Privacy Policy explained above.

SIGNATURE

The Undersigned has/have executed this Application Form as of the date set forth below

Date: ____/____/____

Signature:

Name:

Position:

Signing Instructions:

- All joint applicants must sign together.
- If the applicant is a corporation, (an) authorized officer(s) of that corporation must sign in compliance with its memorandum and articles of association and, by signing this Application Form, the authorized officer(s) thereby confirm and warrant that the corporation is so empowered to invest in the Company and that, if required, the relevant corporate resolution has been passed and executed by the board of directors of the corporation. If the representation of the Company in respect to this application defers from that stated in the memorandum and articles of association of the Customer, a copy of the resolution, Power of Attorney or other written authorization authorizing the representative(s) to act on behalf of the Customer must be provided.
- If an agent or attorney signs on behalf of the person named as the Subscriber, a copy of the relevant power of attorney or other document appointing the agent or power of attorney must be attached and the agent/attorney hereby accepts full responsibility for the obligations undertaken by his principal in subscribing for Investor Shares on such principal's behalf.

PEP DECLARATION FORM (For Entities)

Please tick as applicable:

I confirm that I:

- None of the natural persons fall within the definition of 'politically exposed persons', being natural persons who are or have been entrusted with prominent public functions*, including their immediate family members or persons known to be close associates of such persons, but shall not include middle ranking or more junior officials.
- The following natural persons fall within the definition of 'politically exposed persons', being natural persons who are or have been entrusted with prominent public functions*, including their immediate family members** or persons known to be close associates of such persons, but shall not include middle ranking or more junior officials.

I declare that the above information is true and correct and should any changes occur in the future to my status, I confirm that I will duly inform the Company of such changes within 15 days of said change.

N.B. If any of the beneficiaries/Directors fall under the definition of a 'politically exposed persons' (presently a PEP or for a subsequent 12 months period from when the individual ceased to be a PEP), kindly provide the following details/documents:

- a. Full Name of PEP: _____
- b. Date of appointment: _____
- c. Position held: _____
- d. Country of appointment: _____
- e. Date of Resignation (if applicable): _____
- f. Through his/her appointment, he/she holds relationships with the following jurisdictions: _____ (To be completed only if the individual is the one who has been entrusted with the prominent public function).
- g. Curriculum Vitae
- h. Asset Disclosure document (statement of assets, liabilities and interests) filed with the national agency/government.
If the Asset Disclosure document is not being provided, kindly specify the reasons why:

OR: The aforementioned named individual, does not himself/herself hold the prominent public function but solely fall under the definition of a PEP as he/she is an immediate family member or close associate of the person who holds the prominent public function.

* *Prominent public functions being:*

- *Heads of State, Head of Government, Ministers, Deputy or Assistant Ministers and Parliamentary Secretaries;*
- *Members of Parliament or similar legislative bodies;*
- *Members of governing bodies of political parties;*
- *Members of the superior, supreme and constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;*
- *Members of courts of auditors or of the boards of central banks*
- *Ambassadors, charges d'affaires and other high-ranking officers in the armed forces;*
- *Members of the administrative, management or supervisory boards of State-owned enterprises;*
- *Anyone exercising a function equivalent to those aforementioned within an institution of the European Union or any other international body.*

**** Immediate family members shall include:**

- (i) the spouse, or any partner recognised by national law as equivalent to the spouse;
- (ii) the children and their spouses or persons considered to be equivalent to a spouse; and
- (iii) the parents.

***** Close associates shall include:**

(i) A natural person known to have joint beneficial ownership of a body corporate or any other form of legal arrangement, or any other close business relations with that politically exposed person;

(ii) A natural person who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of that politically exposed person.

Authorised Signature: _____

Authorised Signature: _____

Position/Title: _____

Position/Title: _____

Date: (dd/mm/yyyy): _____

Date: (dd/mm/yyyy): _____

Self-Certification Form (For Entities)

FATCA and CRS Declaration Form

INSTRUCTION FOR COMPLETION

FATCA Regulations, Intergovernmental Agreements (IGA), Common Reporting Standard (CRS) and related domestic legislations on Automatic Exchange of Information in Tax Matters (collectively AEOI) require Financial Institutions/Funds to collect certain information about the tax residence and citizenship of each account holder/investor who is beneficial owner of a financial account/fund. This self-certification is to be completed by an entity account holder/investor.

Please complete the sections below as directed and provide any additional information that is requested. In case of individual account holder please complete the self-certification form for individuals. In cases where the entity is a Passive Non-Financial Entity (Passive NFE), or is an Financial Institution- Investment Entity (FI- IE), located in a CRS Non-Participating Jurisdiction and managed by another Financial Institution, please provide information on each of the Controlling Persons by completing section 6: Controlling Persons details.

Please note that in certain circumstances, Fund may be obliged to share this information with relevant tax authorities. Terms referenced in this form shall have the same meaning as applicable under the relevant IGA, FATCA Regulations, CRS, related domestic legislation.

Guidance Notes.

If any of the information below regarding your tax residence, FATCA, AEOI or CRS classification changes in the future, please ensure you advise Fund of these changes within 30 days of the date of change. If you have any questions about how to complete this form, please contact your tax advisor.

SECTION 1 : ACCOUNT HOLDER IDENTIFICATION

Account Holder Name (Legal Name of the Entity):			
Date of Incorporation / Organization:			
Country of Incorporation:			
Registered Address:			
		City / Town:	
		State / Province:	
		ZIP / Postal Code:	
		Country:	
Telephone Number:		Country Code:	Number:
Mailing Address: (if different from above)			
		City / Town:	
		State / Province:	
		ZIP / Postal Code:	
		Country:	

SECTION 2 : U.S CITIZENS / UNITED KINGDOM CITIZENS

a.	<input type="checkbox"/>	The Entity is a Specified U.S. Person ¹ and the Entity's U.S. federal taxpayer identification number (U.S. TIN) is as follows:	
b.	<input type="checkbox"/>	The Entity is a U.S. Person that is not a Specified U.S. Person. Indicate exemption:	
c.	<input type="checkbox"/>	The Entity is not a U.S. Person:	
d.	<input type="checkbox"/>	The Entity is a Specified United Kingdom Person ² and the Entity's United Kingdom identification tax number is as follows:	
e.	<input type="checkbox"/>	The Entity is a United Kingdom Person that is not a Specified United Kingdom Person. Indicate exemption:	
f.	<input type="checkbox"/>	The Entity is not a United Kingdom Person:	

Please tick and complete as appropriate.

¹ Specified US Person: see definition in Annexure 2.

² Specified UK Person: see definition in Annexure 2.

SECTION 3 : DECLARATION OF TAX RESIDENCY

*** repeat any residences indicated in Section 2 (US Persons or UK Persons)**

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated tax reference number type and number).

Country / Countries of Tax Residency	Tax Reference Number Type	Tax Identification Number (TIN) */ Similar Documents

* If any of the TINs are not available, please specify the reason for non-availability:

SECTION 4 : ENTITY FATCA CLASSIFICATION

4.1 If you are a Financial Institution , please tick ANY one of the below categories, and provide your FATCA GIIN at 4.1.1.	
a.	<input type="checkbox"/> Reporting Financial Institution
b.	<input type="checkbox"/> Registered Deemed Compliant Foreign Financial Institution
c.	<input type="checkbox"/> Participating Foreign Financial Institution
4.1.1 Global Intermediary Identification number (GIIN):	
4.2 If you are a Financial Institution but unable to provide a GIIN , please tick ANY one of the below reasons:	
a.	<input type="checkbox"/> The Entity is an IGA Model 1 Financial Institution and has not yet obtained a GIIN but intends to do so, if
b.	<input type="checkbox"/> The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN. Sponsoring Entity's Name: Sponsoring Entity's Sponsoring GIIN:
c.	<input type="checkbox"/> The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN. Trustee's Name: Trustee's Sponsoring GIIN:
d.	<input type="checkbox"/> The Entity is a Certified Deemed Compliant, or otherwise Non-Reporting, Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA, except for a Trustee Documented Trust or Sponsored Financial Institution). Indicate exception:
e.	<input type="checkbox"/> The Entity is an Excepted Foreign Financial Institution. Indicate exception:
f.	<input type="checkbox"/> The Entity is a Non-Participating Foreign Financial Institution.
g.	<input type="checkbox"/> The Entity is a U.S. Financial Institution.

4.3 If you are not a Foreign Financial Institution, please confirm the Entity's FATCA status below:	
a.	<input type="checkbox"/> The Entity is an Exempt Beneficial Owner . Indicate status:
b.	<input type="checkbox"/> The Entity is an Active Non-Financial Foreign Entity (including an Excepted NFFE).
c.	<input type="checkbox"/> The Entity is a Passive Non-Financial Foreign Entity (please complete Section 6: Controlling Persons).

SECTION 5 : ENTITY CRS CLASSIFICATION

5.1 Entity Type	
a.	<input type="checkbox"/> Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company.
b.	<input type="checkbox"/> Financial Institution – Investment Entity: I. located in a CRS Participating Jurisdiction II. located in a CRS Non-Participating Jurisdiction and managed by another Financial Institution (please complete Section 6: Controlling Persons) III. located in a CRS Non-Participating Jurisdiction other than mentioned in (ii) above
c.	<input type="checkbox"/> Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. If you have ticked (c), please provide the name of the established securities market on which the corporation is regularly traded: If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation:
d.	<input type="checkbox"/> Active NFE – a Government Entity or Central Bank.
e.	<input type="checkbox"/> Active NFE – an International Organisation.
f.	<input type="checkbox"/> Active NFE – other than (c) to (e) above (for example an active holding NFE, a start-up NFE or a non-profit NFE).
g.	<input type="checkbox"/> Passive NFE (please complete Section 6: Controlling Persons).

SECTION 6: CONTROLLING PERSONS³

Details – Please complete the following table

Annexure 1: Controlling Persons (CP)												
Controlling Person - Full Name	Date of Birth	Place of birth (city and country)	Full residence address	Country(ies) of tax residence	CP Type (Owner, Settlor, Beneficiary, Trustee, Protector or equivalent, others)	Details of controlling person's beneficial interest (specify percentage)						

SECTION 7: DECLARATION AND UNDERTAKINGS

I/We declare (as an authorized 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 undertake to advise Fund 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 inaccurate or incomplete. Where legally obliged to do so, I/we hereby consent to Fund sharing this information with the relevant tax authorities.

Authorised Signature: _____

Authorised Signature: _____

Position/Title: _____

Position/Title: _____

Date: (dd/mm/yyyy): _____

Date: (dd/mm/yyyy): _____

ANNEXURE 1

Self – Certification Form (for UBOs)

FATCA And CRS Declaration Form

INSTRUCTION FOR COMPLETION

FATCA Regulations, Intergovernmental Agreements (IGA), Common Reporting Standard (CRS) and related domestic legislations on Automatic Exchange of Information in Tax Matters (collectively "AEOI") require Financial Institutions/Funds to collect certain information about the tax residence and citizenship of each account holder who is beneficial owner of a financial account. This self-certificate is to be completed by an individual account holder/Investor.

Please complete the sections below as directed and provide any additional information that is requested. Where there are joint account holders each investor is required to complete a separate Self-Certificate Form.

Please note that in certain circumstances, Fund may be obliged to share this information with relevant tax authorities. Terms referenced in this form shall have the same meaning as applicable under the relevant IGA, FATCA Regulations, CRS, related domestic legislation on AEOI and/or Guidance Notes.

If any of the information below about your tax residence or any other relevant information as mentioned in the form changes in the future, please ensure you advise Fund of these changes within 30 days of the date of change. If you have any questions about how to complete this form, please contact your tax advisor.

SECTION I : BASIC INFORMATION

01	Name (As per passport or equivalent).			
	Last Name (Surname):			
	First Name (Given Name):			
	Middle Name:			
02	Date & Place of Birth (Indicate city and country).			
	Date:	City:	Country:	
03	Permanent and Residence Address:			
	Number & Street:		City / Town:	
			State / Province:	
			ZIP / Postal Code:	
			Country:	
Telephone Number:		Country Code:	Number:	
04	Mailing Address (if different from above):			
	Number & Street:		City / Town:	
			State / Province:	
			ZIP / Postal Code:	
		Country:		
05	Have you given any Power of Attorney (POA) or signature authority to a person with an address in the United States of America? YES / NO.			
06	Citizenship (if multiple, please provide all):			
	01	County:	Passport / Identity Card No.:	

	02	County:		Passport / Identity Card No.:	
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SECTION II : DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES

01	Please tick/check either (a) or (b) or (c) and complete as appropriate the US taxation status:				
	<input type="checkbox"/>	I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (U.S. green card holder, visa holder or resident under the substantial presence test).			
		My US federal taxpayer identification number (US TIN) is:			
	<input type="checkbox"/>	I confirm that I was born in the U.S. (or a U.S. territory) but I am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.			
	<input type="checkbox"/>	I confirm that I am NOT a U.S. citizen or resident in the U.S. for tax purposes.			

SECTION III : DECLARATION OF TAX RESIDENCY (OTHER THAN U.S.A.)

01	I hereby confirm that I am, for tax purposes, resident in the following countries (If multiple, please provide all):				
	Jurisdiction:		TIN Type:		TIN*:
	Jurisdiction:		TIN Type:		TIN*:
	Jurisdiction:		TIN Type:		TIN*:

SECTION IV : CERTIFICATION AND UNDERTAKINGS

I hereby certify that I have examined the information on this form and to the best of my knowledge and belief it is true, correct and complete as of the date hereof. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I will be held liable for it.

I declare that on my own initiative I will notify Fund of any change in circumstances that makes this certification incorrect or incomplete and will provide an updated form with all relevant documentation, within 30 days of such change. Where legally obliged to do so, I hereby consent to Fund sharing this information with the relevant tax authorities.

Sign Here _____

[Print Name of Signatory]

Date Signed [YYYY – MM – DD]

Place Signed [City, Country]

ANNEXURE 2

US IGA and UK IGA DEFINITIONS

Account Holder means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account for purposes of this Agreement, and such other person is treated as holding the account. For purposes of the immediately preceding sentence, the term "Financial Institution" does not include a Financial Institution organized or incorporated in a U.S. Territory. In the case of a Cash Value Insurance Contract or an Annuity Contract, the Account Holder is any person entitled to access the Cash Value or change the beneficiary of the contract. If no person can access the Cash Value or change the beneficiary, the Account Holder is any person named as the owner in the contract and any person with a vested entitlement to payment under the terms of the contract. Upon the maturity of a Cash Value Insurance Contract or an Annuity Contract, each person entitled to receive a payment under the contract is treated as an Account Holder.

Active Non-Financial Foreign Entity means any NFFE which is a Non U.S. entity that meets any of the following criteria:

- a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market;
- c) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;
- d) The NFFE is a non-U.S. government, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;
- e) substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing; and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;
- g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- h) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- i) The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or
- j) The NFFE meets all of the following requirements:
 - i. It is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
 - ii. It is exempt from income tax in its country of residence;
 - iii. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv. The applicable laws of the Entity's country of residence or the Entity's formation documents do not permit any income or assets of the Entity to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the Entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the Entity has purchased; and
 - v. The applicable laws of the Entity's country of residence or the Entity's formation documents require that, upon the Entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the Entity's jurisdiction of residence or any political subdivision thereof.

Code means the U.S Internal Revenue Code of 1986, as amended.

Controlling Person means the natural persons who exercise direct or indirect control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term 'Controlling Persons' shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations ("FATF").

FATF Recommendations on Controlling Persons:

Identify the beneficial owners of the customer and take reasonable measures to verify the identity of such persons, through the following information. For legal persons¹:

- a) The identity of the natural persons (if any – as ownership interests can be so diversified that there are no natural persons (whether acting alone or together) exercising control of the legal person or arrangement through ownership) who ultimately have a controlling ownership interest² in a legal person; and
- b) to the extent that there is doubt under (a) as to whether the person(s) with the controlling ownership interest are the beneficial owner(s) or where no natural person exerts control through ownership interests, the identity of the natural persons (if any) exercising control of the legal person or arrangement through other means.
- c) Where no natural person is identified under (a) or (b) above, financial institutions should identify and take reasonable measures to verify the identity of the relevant natural person who holds the position of senior managing official.

Entity means a legal person or a legal arrangement such as a trust.

Exempt Beneficial Owners under the US IGA include Government entities, International Organizations, Central Bank, Broad Participation Retirement Funds, Narrow Participation Retirement Funds, Pension Funds of an Exempt Beneficial Owner, and Investment Entities wholly owned by Exempt Beneficial Owners. Please refer to the US IGA for detailed definitions.

Financial Institution means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company, where:

- a) Custodial Institution means any entity that holds, as a substantial portion of its business, financial assets for the account of others. An entity holds financial assets for the account of others as a substantial portion of its business if the entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence;
- b) Depository Institution means any entity that accepts deposits in the ordinary course of a banking or similar business;
- c) Investment Entity means any entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer: (1) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; (2) individual and collective portfolio management; or (3) otherwise investing, administering, or managing funds or money on behalf of other persons. The term Investment entity shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations; and
- d) Specified Insurance Company means any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Non-Financial Foreign Entity or **NFFE** means any Non-U.S. Entity that is not a Financial Institution as defined in US FATCA (in case of UK IGA: **NFFE** means any Non-United Kingdom Resident Entity that is not a Financial Institution as defined in UK FATCA).

Non-U.S. Entity means an Entity that is not a U.S. Person.

Non-United Kingdom Resident Entity means an entity that is not resident in the United Kingdom for the purposes of UK FATCA.

Passive Non-Financial Foreign Entity means any NFFE that is not an Active Non-Financial Foreign Entity

Related Entity An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 percent of the vote or value in an entity. Notwithstanding the foregoing, either Party may treat an entity as not a related entity if the two entities are not members of the same affiliated group, as defined in Section 1471(e) (2) of the Code.

Specified United Kingdom Person means a person who is resident in the United Kingdom for tax purposes, other than:

- a) a corporation the stock of which is regularly traded on one or more established securities markets;
- b) a corporation that is a member of the same affiliated group, as defined in Section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in (a) above;
- c) a Depository Institution;
- d) a broker or dealer in securities, commodities, or derivative financial instruments (including notional principle contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom; or
- e) a Non-Reportable United Kingdom Entity as defined in Annex II paragraph V of UK FATCA (referring to certain UK governmental organizations, international organizations, central bank and UK retirement funds).

¹ Measures (a) to (b) are not alternative options, but are cascading measures, with each to be used where the previous measure has been applied and has not identified a beneficial owner.

² A controlling ownership interest depends on the ownership structure of the company. It may be based on a threshold, e.g. any person owning

more than a certain percentage of the company (e.g. 25%).

Specified U.S. Person means a U.S. Person other than:

- a) a corporation the stock of which is regularly traded on established securities markets;
- b) any corporation that is a member of the same expanded affiliated group;
- c) the United States or any wholly owned agency or instrumentality thereof;
- d) any State of the United States, any U.S. Territory, any political subdivision or wholly owned agency or instrumentality of any one or more of the foregoing;
- e) any organization exempt from taxation under section 501 (a) of the Internal Revenue Code (the "Code") or certain individual retirement plans defined in section 7701(a)(37) of the Code ;
- f) any bank as defined in section 581 of the Code;
- g) any real estate investment trust as defined in section 856 of the Code;
- h) any regulated investment company defined in section 851 of the Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940;
- i) any common trust fund as defined in section 584(a) of the Code;
- j) any trust that is exempt from tax under section 664(c) of the Code or that is described in 4947(a)(1) of the Code;
- k) a dealer in securities, commodities, or derivative financial instruments that is registered as such under the laws of the United States or any State;
- l) a broker as defined in section 6045(c) of the Code; or
- m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the Code.

U.S. Person means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States. Refer to the U.S. Internal Revenue Code for further interpretation.

U.K. Tax Resident means a resident in the United Kingdom for tax purposes (including where a person or entity is resident in United Kingdom and in any other jurisdiction under the respective domestic laws of the United Kingdom and such other jurisdiction)

CRS DEFINITIONS

Account Holder means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account for purposes of the Common Reporting Standard, and such other person is treated as holding the account. In the case of a Cash Value Insurance Contract or an Annuity Contract, the Account Holder is any person entitled to access the Cash Value or change the beneficiary of the contract. If no person can access the Cash Value or change the beneficiary, the Account Holder is any person named as the owner in the contract and any person with a vested entitlement to payment under the terms of the contract. Upon the maturity of a Cash Value Insurance Contract or an Annuity Contract, each person entitled to receive a payment under the contract is treated as an Account Holder.

Active Non-Financial Entity means any NFE that meets any of the following criteria:

- a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- h) the NFE meets all of the following requirements:
 - i. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
 - ii. it is exempt from income tax in its jurisdiction of residence;
 - iii. it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
 - v. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

Controlling Person means the natural persons who exercise direct or indirect control over an entity. In the case of a trust, such term means the settlor(s), the trustees(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term 'Controlling Persons' shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations ("FATF").

FATF Recommendations on Controlling Persons:

Identify the beneficial owners of the customer and take reasonable measures to verify the identity of such persons, through the following information. For legal persons³:

- a) The identity of the natural persons (if any – as ownership interests can be so diversified that there are no natural persons (whether acting alone or together) exercising control of the legal person or arrangement through ownership) who ultimately have a controlling ownership interest⁴ in a legal person; and
- b) to the extent that there is doubt under (a) as to whether the person(s) with the controlling ownership interest are the beneficial owner(s) or where no natural person exerts control through ownership interests, the identity of the natural persons (if any) exercising control of the legal person or arrangement through other means.
- c) Where no natural person is identified under (a) or (b) above, financial institutions should identify and take reasonable measures to verify the identity of the relevant natural person who holds the position of senior managing official.

Financial Institution means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company, where:

- a) **Custodial Institution** means any entity that holds, as a substantial portion of its business, financial assets for the account of others. An entity holds financial assets for the account of others as a substantial portion of its business if the entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence;
- b) **Depository Institution** means any entity that accepts deposits in the ordinary course of a banking or similar business;
- c) **Investment Entity** means any entity :
 - A. that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - i. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - ii. individual and collective portfolio management; or
 - iii. otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
 - B. the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the entity is managed by another entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in limb (A) of this definition.

An entity is treated as primarily conducting as a business one or more of the activities described in limb (A), or an entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for purposes of limb (B) if the entity's gross income attributable to the relevant activities equals or exceeds 50% of the entity's gross income during the shorter of: (i) the three year period ending on 31 December of the year preceding the year in which the determination is made; or (ii) the period during which the entity has been in existence. The term "Investment Entity" does not include an entity that is an Active Non-Financial Foreign Entity because it meets any of the criteria in subparagraphs d) through (g) of the definition of Active NFE. The preceding paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations; and
- d) **Specified Insurance Company** means any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Non-Financial Entity or NFE means any Entity that is not a Financial Institution.

CRS Non-Participating Jurisdiction means a jurisdiction that is not a Participating Jurisdiction.

Non-Reporting Financial Institution means any Financial Institution that is:

- a) Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance

Company, Custodial Institution, or Depository Institution;

- b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, international Organisation or Central Bank; or a Qualified Credit Card Issuer;
- c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in subparagraphs B(1)(a) and (b), and is defined in domestic law as a Non-Reporting Financial Institution, provided that the status of such Entity as a Non-Reporting Financial Institution does not frustrate the purposes of the Common Reporting Standard;
- d) an Exempt Collective Investment Vehicle; or
- e) a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

CRS Participating Jurisdiction means a jurisdiction (i) with which an agreement is in place pursuant to which it will provide the information specified in Section I (of the CRS), and (ii) which is identified in a published list.

³ Measures (a) to (b) are not alternative options, but are cascading measures, with each to be used where the previous measure has been applied and has not identified a beneficial owner.

⁴ A controlling ownership interest depends on the ownership structure of the company. It may be based on a threshold, e.g. any person owning more than a certain percentage of the company (e.g. 25%).

Participating Jurisdiction Financial Institution means (i) any Financial Institution that is resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside such Participating Jurisdiction, and (ii) any branch of a Financial Institution that is not resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

Passive Non-Financial Entity means any: (i) Non-Financial Entity that is not an Active Non-Financial Entity; or (ii) an Investment Entity described in limb B (or subparagraph A(6)(b) of the Standard) of the definition of Investment Entity that is not a Participating Jurisdiction Financial Institution.

Related Entity means an entity related to another entity because (i) either entity controls the other entity; (ii) the two entities are under common control; or (iii) the two entities are Investment Entities described limb B of the definition of Investment Entity, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

QUALIFYING INVESTOR DECLARATION FORM

(First time Subscribers must complete the following, sign and submit it in original for orders to be accepted.)

Section I: This Section should be completed by the Qualifying Investor or duly authorized agent

Name of the Investor:

[tick as applicable]

The investment is being made directly by the investor (not through a duly authorized agent)

I / We hereby confirm that I / we am / are eligible to be treated as a “Qualifying Investor”, since I / we satisfy the definition thereof in light of the positive response(s) that I / we have given to the question(s) below. I / We certify that I / we have read and understood the Offering Memorandum and relevant Offering Supplement, including the mandatory risk warnings.

The investment is not being made directly by the investor but through a duly authorized agent

I / We hereby confirm that I / we have been properly appointed as a duly authorized agent of a prospective investor in the above-mentioned Sub-Fund. I / We certify that my / our principal is eligible to be treated as a “Qualifying Investor” since my / our principal satisfies the definition thereof in light of the positive response(s) that I / we have given to the question(s) below in respect of my / our principal. I / We certify that my / our principal has read and understood the Offering Memorandum and relevant Offering Supplement, including the mandatory risk warnings.

I / We qualify / My Principal / Our Principal qualifies <i>[delete as applicable]</i> as a “Qualifying Investor”, as I / he / she / it / we is or are:	YES	NO
1. A body corporate which has net assets in excess of EUR 750,000 or which is part of a group which has net assets in excess of EUR 750,000 or in each case, the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
2. An unincorporated body of persons or association which has net assets in excess of EUR 750,000 or the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
3. A trust where the net value of the trust’s assets is in excess of EUR 750,000 or the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>

Signature of Qualifying Investor / duly authorized agent:	
Name of Qualifying Investor / duly authorized agent:	
Title / Capacity in which signed:	
Date:	

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Section II: This Section should be completed by the Company / sales agent / third party selling Investor Shares in the Sub-Fund

(tick as applicable)

I hereby confirm that:

I have satisfied myself that the investor has the necessary experience and knowledge in order to understand the risks involved;

OR

I have not satisfied myself that the investor has the necessary experience and knowledge in order to understand the risks involved and that I have warned the investor/duly authorized agent accordingly.

Signature of Company representative / sales agent / third party:	
Name of Company representative / sales agent / third party:	
Date:	

PROFESSIONAL INVESTOR DECLARATION FORM

(First time Subscribers must complete the following, sign and submit it in original for orders to be accepted.)

Section I: This Section should be completed by the Professional Investor or duly authorized agent

Name of the Investor:

[tick as applicable]

The investment is being made directly by the investor (not through a duly authorized agent):

- I/ we hereby confirm that I / we am / are eligible to be treated as a “Professional Investor”, since I / we satisfy the definition thereof as prescribed in Paragraph I of Annex II of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments as may be amended from time to time.
- I/ we hereby confirm that I/ we possess the experience, knowledge and expertise to make my own investment decisions and properly assess the risks involved in vesting in the NAIF.
- I/ we hereby confirm that I/ we have read and understood the Offering Document including the mandatory risk warnings and that even though I/ We have been warned that I/ we may request non-professional treatment, I/ we have still opted to be treated as a professional investor

OR

- I/ we hereby confirm that I/ we have requested to be treated as a “Professional Investor”, in terms of Paragraph II of Annex II of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments as may be amended from time to time, since I fulfil at least **two** of the following criteria:
 - (1) I/ we have carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters;
 - (2) The size of my financial instrument portfolio, defined as including cash deposits and financial instruments exceeds EUR 500,000;
 - (3) I/ we work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged.

The investment is not being made directly by the investor but through a duly authorized agent:

- I/ we hereby confirm that I / we have been properly appointed as a duly authorized agent of a prospective investor in the NAIF described above
- I/ we hereby confirm that my principal:
 - (1) Is eligible to be treated as a “Professional Investor”, since he/she satisfies the definition thereof as prescribed in Paragraph I of Annex II of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments as may be amended from time to time; and
 - (2) Possesses the experience, knowledge and expertise to make his/her own investment decisions and properly assess the risks involved in investing in the NAIF; and
 - (3) Has read and understood the Offering Document including the mandatory risk warnings and that even though he/she has been warned that he/she may request non-professional treatment, my principal has still opted to be treated as a professional investor.

OR

- I/ we hereby confirm that my principal has requested to be treated as a “Professional Investor”, in terms of Paragraph II of Annex II of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on

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markets in financial instruments as may be amended from time to time, since he/she fulfils at least **two** of the following criteria:

- (1) My principal has carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters,
- (2) The size of my principal's financial instrument portfolio, defined as including cash deposits and financial instruments exceeds EUR 500,000
- (3) My principal works or has worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged

I / we have been properly appointed as a duly authorized agent of a prospective investor in the NAIF described above

Signature of Professional Investor / duly authorized agent:	
Name of Professional Investor / duly authorized agent:	
Title / Capacity in which signed:	
Date:	

Section II: This Section should be completed by the Company / sales agent / third party selling Investor Shares in the Sub-Fund

(tick as applicable)

I hereby confirm that:

I have satisfied myself that the investor has the necessary experience and knowledge in order to understand the risks involved;

OR

I have not satisfied myself that the investor has the necessary experience and knowledge in order to understand the risks involved and that I have warned the investor/duly authorized agent accordingly.

Signature of Company representative / sales agent / third party:	
Name of Company representative / sales agent / third party:	
Date:	

REQUIRED DUE DILIGENCE DOCUMENTATION TO APPROVE THE INVESTMENT

(refer to Guidance Notes with respect to the required due diligence documentation to approve the investment)

1. Original / Certified true copy of all the following documentation:

- Certified Authorised signatory list.
- Certified AML Comfort letter (if applicable)
- Copies of the last three audited accounts/financial statements of the Company certified by the Company Secretary or Directors; and
- Certificate of Incorporation / Registration; and
- Original Good Standing Certificate not older than one (1) month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated; and

Either

- Latest Memorandum and Articles of Association available including any changes made thereto and to include (i) the present Shareholders and (ii) the present Directors and their powers and in the case of a Partnership, the most recent version of the Partnership Agreement;

Or

- Shareholder's Register and Director's Register, or Register of Partners in the case of Partnerships, and their legal powers certified by the Company Secretary, Director(s), or Registrar of Companies *(in the case that the M&A does not include a list of the present Shareholders and present Directors and their powers)*

N.B details to be provided in the Register shall include:

- i. *Official Full name of individual*
- ii. *Place and date of birth of the individual*
- iii. *Permanent residential address of the individual*
- iv. *Identification number*
- v. *Nationality*

Due Diligence documents required for Beneficial Owners *(refer to Guidance Notes with respect to the definition of a beneficial owner)*

1. Certified true copy of a valid government issued identification documents containing a photographic image. One of the documents must contain the residential address (please mark which documents are being provided):

- Passport
- National or other government-issued Identity Card
- Residence Card
- Driving Licence Card
- Other document not being government issued but recognised by a government authority as a valid means of identification and bears a photographic image (such as a Bank ID Card)

2. Original or certified true copy of one of the following documents not older than six (6) months (please mark which document is being provided):

- Bank statement (of an active account)
- Utility Bill issued in relation to services linked to the residential property (i.e. fixed line telephone, water...)

- 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)
- Any other government-issued document not mentioned under point (1) above

Ownership and Control Structure *(the following are mandatory)*

- (i) Kindly provide a detailed explanation of the ownership and control structure of the company including but not limited to any natural persons who ultimately own or control, directly or indirectly (refer to Appendix II of the guidance notes for ownership or control definition) or who otherwise exercise control over the management of the Company or body of persons (*Beneficial owner(s)*)*. Such explanation is to be provided below. Furthermore, for any multi-layered complex structures, detailed explanations for such structures is to be provided including which jurisdictions involved.
- (ii) Kindly provide a corporate structure showing the ownership structure to the extent that would be required to determine who the beneficial owner(s) is/are. Such corporate structure or structure chart is to be provided below.

Should any changes occur in the future to the above information, the Company shall be informed of such changes prior to such changes or with immediate effect of occurrence of such changes.

***N.B.**

- (i) ***Beneficial owner(s) refers to the natural person(s) who ultimately owns or controls the Company and/or the natural person on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over the Company. Reference to "ultimately owns or controls" and "ultimate effective control" refer to situations in which ownership/control is exercised through a chain of ownership or by means of control other than direct control.***
- (ii) ***A person who exercise control over the management of the Company or body of persons include, but not limited to:***
 - (a) ***Persons who are granted rights through informal or formal arrangements, such as shareholders' agreements, by means of which they exercise a dominant influence over the Company; or***
 - (b) ***Persons such as shadow directors who exert control over the management of the Company, although not formally appointed to constitute part of the Board of Directors.***

Please also refer to Appendix II of the Guidance Notes

Due Diligence documents required for Agents

1. Certified true copy of a valid government issued identification documents containing a photographic image. One of the documents must contain the residential address (please mark which documents are being provided):
 - Passport
 - National or other government-issued Identity Card
 - Residence Card
 - Driving Licence Card
 - Other document not being government issued but recognised by a government authority as a valid means of identification and bears a photographic image (such as a Bank ID Card)
2. Original or certified true copy of one of the following documents not older than six (6) months (please mark which document is being provided):
 - Bank statement (of an active account)
 - Utility Bill issued in relation to services linked to the residential property (i.e. fixed line telephone, water...)
 - 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)
 - Any other government-issued document not mentioned under point (1) above

CERTIFICATION, TRANSLATION AND APOSTILLE OF DOCUMENTS

Translation of documents.

Please note that all documentation is to be provided in English, therefore any documentation which is in any language other than English must also be (i) duly certified in line with the below instructions **and** (ii) officially translated. Any documents being translated should be translated by an independent person of proven competence and must state in writing:

- The document is a faithful translation of the original;
- Date of translation;
- Signature of translator; and
- Full name and contact details of the translator.

Certification of documents.

In the case where documents are not being provided in original, these are to be provided as certified true copies and have to be certified by a legal professional, accountancy professional, a notary or a person undertaking relevant financial business. Such certification should be evidenced by a written statement as follows:

A. In the case of Identification Documents:

I certify that the document is a true copy of the original document and has been seen and verified by me and that the photograph contained in the document bears a true likeness to _____.

B. In the case of Other Documents:

I certify that the document is a true copy of the original document and has been seen and verified by me.

In both cases, the certifier must sign and date the copy (indicating his name clearly beneath the signature) and clearly indicate his profession, designation or capacity on it and provide his contact details.

Apostilled documents.

Documentation of individuals residing outside the EU / EEA need to be apostilled.

OWNERSHIP AND CONTROL STRUCTURE EXPLANATION

Signed: _____

Name:

Position:

N.B: TO BE SIGNED BY (I) THE REPRESENTATIVE OF THE COMPANY IN LINE WITH THE LEGAL REPRESENTATION OF THE COMPANY OR AUTORISATION GRANTED AND (II) APPLICANTS FOR BUSINESS NOT ACTING AS PRINCIPAL (where applicable).

CORPORATE STRUCTURE

Signed: _____

Name:

Position:

N.B: TO BE SIGNED BY (I) THE REPRESENTATIVE OF THE COMPANY IN LINE WITH THE LEGAL REPRESENTATION OF THE COMPANY OR AUTORISATION GRANTED AND (II) APPLICANTS FOR BUSINESS NOT ACTING AS PRINCIPAL (*where applicable*).

Appendix I

List of examples of appropriate information and/or supporting documentation required to establish Source of Wealth and Funds:

Source of funds/wealth	Information / Documents that may be required
Employment Income	<ul style="list-style-type: none"> - Nature of employer's business - Name and address of the employer - Annual salary and bonuses for the last couple of years - Last month/recent pay slip - Confirmation from the employer of annual salary - Latest accounts or tax declaration if self employed
Savings / deposits	<ul style="list-style-type: none"> - Bank statement and enquiry of the source of wealth
Property Sale	<ul style="list-style-type: none"> - Details of the property sold (i.e. address, date of sale, sale value of property sold, parties involved) - Copy of contract of sale - Title deed from land registry
Sale of shares or other investment	<ul style="list-style-type: none"> - Copy of contract - Sale value of shares sold and how they were sold (i.e. name of stock exchange) - Statement of account from agent - Transaction receipt/confirmation - Shareholder's certificate - Date of sale
Loan	<ul style="list-style-type: none"> - Loan agreement - Amount, date and purpose of loan - Name and address of Lender - Details of any security - rationale for loan - relationship with lender
Company Sale	<ul style="list-style-type: none"> - Copy of the contract of sale - Internet research of Company Registry - Name and Address of Company - Total sales price - Customer's share participation - Nature of business - Date of sale and receipt of funds - Media coverage
Company Profits Distribution / Dividends	<ul style="list-style-type: none"> - Copy of latest audited financial statements - Copy of latest management accounts - Board of Directors approval - Dividend distribution Certificate - Tax declaration form
Income/wealth from business <ul style="list-style-type: none"> - Trading profits - Dividends from subsidiaries - Investment Income - Transfer of assets - Contributions - Loans received 	<ul style="list-style-type: none"> - Copy of latest audited financial statements - Copy of latest management accounts - Dividend distribution Certificate - Loan agreement - Bank confirmation/instructions - Verification document of transfer of asset - Holdings reports

Inheritance	<ul style="list-style-type: none"> - Name of deceased - Date of death - Relationship to Customer - Date of funds/assets received - Total amount - Solicitor's details - Tax clearance documents
Gift	<ul style="list-style-type: none"> - Date received - Total amount - Relationship to Customer - Letter from donor explaining the reason for the gift and the source of donor's wealth - Certified identification documents of donor - Donor's source of wealth
Maturity/surrender of life policy	<ul style="list-style-type: none"> - Amount received - Policy provider - Policy number/reference - Date of surrender
Other income sources	<ul style="list-style-type: none"> - Nature of income, amount, date received and from who - Appropriate supporting documentation