

# REZCO

*Société d'Investissement à Capital Variable*

## **A Collective Investment Fund, organised under the Grand Duchy of Luxembourg**

### Application Form: Individual Investor

Complete this application form and fax it to **+352 24 52 9337** or email it to [globalta@rezco.co.za](mailto:globalta@rezco.co.za). The original application form must then be couriered, together with all relevant verification documentation, to either of the following addresses:

#### **Luxembourg**

State Street Bank Luxembourg S.C.A  
Attention: IFDSL Registration Team  
49, Avenue J.F. Kennedy  
L-1855 Luxembourg  
Tel: +352 46 40 10 600

#### **South Africa**

Rezco Asset Management  
Attention: IFDSL Registration Team  
146 Main Road, Walmer  
Port Elizabeth  
6070  
Tel: +27 41 581 1525

**Note:** *This application form should be read in conjunction with the most recent consolidated Prospectus of the Company, including any Addendum relating to the relevant Portfolio.*

**IMPORTANT INFORMATION**

- This application form is to be used by new individual investors of the REZCO SICAV (the Fund). If investor are an existing unit-holder, kindly refer to the Investor Order Form to submit a transaction instruction in respect of investor investment.
- The form must be completed in the name of the person(s) who will be the registered Account Holder, i.e. the person who will be beneficially entitled to the shares. The term “investor” shall refer to the registered Account Holder, and, where appropriate, any person(s) authorised to act on the investor’s behalf.
- The originally completed application form, together with the relevant annexure(s) and required verification documents, must be sent to one of the two designated addresses.
- Please read through this document carefully and ensure that investor fully understand it.
- Please complete the form in block letters and ensure that the information is clearly legible.
- Please ensure that the necessary annexures, where applicable, are completed and submitted with this application form.
- Kindly note the required verification documents that must accompany this application.
- Shares will ONLY be allocated once the investment sum reflects in the designated collection account and fully a completed, dated and signed form, accompanied by all the annexures and relevant supporting documents, have been received.
- Due to the fact that the current sub-funds are accumulation funds, there will be no distribution of income.
- **This Fund is not available for investment by US persons.**

**INVESTOR DETAILS**

Please complete the following sections and be sure to take note of the verification documents that will be required in terms of each section.

**(i) Details of the investor**

This section must set out the details of the person who will be the registered Account Holder intended to be beneficially entitled to the shares. If there is more than one registered Account Holder, please see *page 3*.

Title		Surname	
First Name(s)			
Date of Birth			
Identity or Passport Number			
Occupation			
Name of employer			
Residential address			Postal code
Postal address			Postal code

Home No.	Cell No.		
Email Address			
Email Address			
Preferred method for receiving statements	Email	Fax	
Source of wealth being invested	Specify:  <i>Note: supporting documentation may be requested if deemed necessary to verify the above information.</i>		

Required verification documents:

- certified copy of registered investor's Identity Document/Passport;
- proof of residence in the name of the registered investor;
- completed and signed **Annexure B**;
- completed and signed **Annexure C**.

(ii) **Person(s) acting on behalf of the investor**

A person (individual or corporate) acting on behalf of an investor must complete **Annexure A** and ensure that the applicable verification documents also accompanies this application form.

(iii) **Joint account (dual-signatory)**

The investment account may be a joint account with more than one investor intended to benefit from the investment. Each registered account holder may individually transact in respect of the assets in the investment account (*on an either/or signatory basis*).

If the investment account is intended to be a joint account, the other joint account holder(s) must complete **Annexure A** and ensure that the applicable verification documents pertaining to his or her identity also accompanies this application form. Required verification documents:

- certified copy of registered joint account holder's Identity Document/Passport;
- proof of residence in the name of the registered joint account holder;
- completed and signed **Annexure B**;
- completed and signed **Annexure C**.

**Note:** Joint investors are advised to consult their tax and legal advisors regarding the tax and estate planning consequences of joint ownership. For purposes of reporting to tax authorities in terms of obligatory automated exchange of tax information programmes will be made for each joint investor as if they were the sole investor.

(iv) **Collective account (co-signatory)**

If there are one or more persons, including the registered investor, who must act collectively with each other in respect of the investment account, the account will be a collective account and all persons will be registered co-signatories. It is not necessary that all co-signatories be beneficially entitled to the shares. The intention may merely be that a legally competent registered investor not be able to individually transact in respect of the investment account. No transaction in respect of the investment account will be processed unless all co-signatories have signed-off on the transaction.

If the account is intended to be a collective account, the other intended account holders or authorised persons (co-signatories) must complete **Annexure A** and ensure that the applicable verification documents pertaining to his or her identity also accompanies this application form. Required verification documents:

- certified copy of collective account holder's Identity Document/Passport;
- proof of residence in the name of the collective account holder;
- completed and signed **Annexure B** and **Annexure C**

**(v) Politically exposed person**

The Fund is required to determine whether an individual investor would, apart from his or her occupation or as a result thereof be, regarded as a "politically exposed person" (PEP) or whether such investor is closely associated with a PEP. A person will be regarded as a PEP if he or she

- i) fulfils a political or prominent public function in the country of his or her residence or another country;
- ii) holds a senior executive or senior management position with a domestic or foreign state-owned company; or;
- iii) holds a senior executive or senior management position with an international organisation.

Can the investor by nature of his/her occupation or otherwise regarded as a PEP?	YES	NO
If "YES", please specify:		
Is the investor associated with a PEP by marriage, blood relation or any other familial relationship?	YES	NO
If "YES", please specify:		

**INVESTMENT DETAILS**

Units are created on the day that the subscription amount reflects in designated collection account provided that this form along with the required verification documentation is received before 14h00 on that day. If there is anything outstanding at cut-off time, the creation of units in respect of investor investment will be delayed until such time as all requirements are met i.e. the units will only be created on the day the subscription amount reflects in the designated collection account and the completed application form along with all required verification documents are in the Transfer Agent's possession.

**(i) Subscription details**

Please refer to the relevant Appendix of the current Prospectus for minimum holdings in respect of the desired sub-fund/sub-funds investor wish to invest in.

Sub-Fund	ISIN*	Class	Currency		Amount
			USD	EUR	

			USD	EUR	
			USD	EUR	

\* Please consult the KIID for the Class of the relevant Sub-Fund for the ISIN.

**Proof of payment of the subscription amount must be submitted with the application form.**

**Note:** The investor's bank will require a SARS Tax Clearance certificate to pay a subscription investment amount exceeding R1 million (one million rands) in value to the designated collection account. For a subscription amount exceeding R10 million (ten million rands) in value, the investor's bank will require confirmation of approval by the South African Reserve Bank that the investment may be undertaken.

**(ii) Collection account details**

The subscription amount must be paid into the following collection account:

	USD denominated Sub-Fund(s)	EUR denominated Sub-Fund(s)
Bank Name	Bank of America N.A – New York	Bank of America N.A – London
Street Address	22 Broadway	2 King Edward Street
Post Code	10038	EC1A 1HQ
Branch	6550	6008
BIC / SWIFT	BOFAUS3NXXX	BOFAGB22
Routing Code	026009593	
For credit to	REZCO SICAV	REZCO SICAV
CHIPS	959	
ABA	ABA - 026009593	
Account Number / IBAN	6550968109	GB79 BOFA 1650 5084 7810 14
Reference	Investor identifier (e.g. Name) or Deal reference	

**IFAST/WEB**

The investor can be granted access to the Transfer Agent's web-based tool to access and view his/her investment account. Please tick the box below should investor wish to be given access to iFast/Web.

I/We confirm that I/we want to be granted access to iFast/Web.

## TERMS AND CONDITIONS

### 1. General

- This application form, including the annexures, and the Prospectus will be the sole basis of the agreement between the investor and the Fund.
- The Fund has contracted the services of various parties, including but not limited to, the Management Company, the Custodian, the Global Distributor, various the Sub-Distributors and the Transfer Agent (individually and collectively the appointed Service Providers of the Fund).
- The investor confirms that he/she/they has the legal capacity and legal competency to subscribe, hold and / or deal in shares of the Fund. The investor confirms that he/she/they will immediately inform the Fund of any change in relation to such legal capacity and/or competency. The Fund and/or its Service Providers shall not be liable for any prejudice by or in connection with the legal incapacity of the investor, his/her/their agents, natural heirs, legatees and/or other entitled person.
- The investor confirms that the information contained in this application form is true and correct at the time of completion and undertakes to promptly inform the Fund of any changes to the details contained herein. The investor acknowledges and accepts that no transaction instruction with respect to his/her/their investment will be executed if there is a discrepancy between the information contained in this application form and the information in the transaction instruction.
- Where a Power of Attorney is required, a certified copy must be provided and such Power of Attorney will form part of these Terms and Conditions.

### 2. Investment

- The investor has read and understands the applicable KIID at the time of the signature of this application form in respect of the selected share/unit/classes/sub-funds of the Fund and understands and accepts the risks associated with his/her/their chosen investment(s).

- The investor confirms he/she/they will read further potential issuances of such KIID before any subsequent investment that he/she/they wish to make in the relevant share/unit classes/sub-funds of the Fund.
- Whenever the investor acts as an intermediary, he/she/they undertakes that he/she/they will provide the KIID for the respective share classes to their clients in good time before any application in the Fund.
- The Fund and/or its Service Providers will endeavour to provide the investor with as much information as possible regarding its products and services, but such information does not constitute investment advice.
- The Fund has no responsibility to provide the investor with information regarding changes to legislation.
- The investor understands and accepts that where the services of a Financial Advisor was used, the Fund cannot be held accountable for any investment decisions taken according to such advice.
- The investor understands and accepts that where the services of a Financial Advisor was not used, the Fund is indemnified against any claim for loss or damages which may be suffered, directly or indirectly, as a result of the fact that no adviser was appointed to assist with this investment or decisions related thereto, or as a result of the fact that no additional information was provided by Fund.
- The investor understands and accepts all the costs and charges relating to his/her/their investment and acknowledges and agrees that there are allowable deductions from the Fund that may impact the value of his/her/their investment.

### 3. Communication

- The Fund and/or its Service Providers are authorized to accept and execute this application and any future transaction instructions received by fax.

- The investor accepts full responsibility of any/all risks of the using this communication, e.g. those arising from an error in communication or comprehension as well as those arising from fraud or forgery, and he/she/they relieve the Transfer Agent and services providers from any and all responsibilities in this respect.
- The investor agrees to receive electronic documents (e.g. contract note) from the Transfer Agent and / or its service providers to the same extent and with the same legal validity as if it were paper based.
- The investor accepts full responsibility for opening, reading and checking electronic mail just as carefully as if he/she/they had received the mail in paper format.

#### 4. Transaction cut-off

- The agreement will become legally binding once the signed application form, including the annexures, has been received by the Transfer Agent and the application sum has been received by the Fund, whichever happens last. Shares will only be issued to the investor once the agreement comes into force.
- The application sum will only be deemed received when amount has been unconditionally credited to the designated collection account for the Fund.
- If the application form is incorrect, unclear or incomplete, or if any of the required annexures or identification/verification documents are still outstanding at determined cut-off time in respect of the applicable share/unit/classes/sub-funds of the Fund, the coming into force of this agreement will be delayed until a complete and correct application form and annexures as well as all required identification/verification documents have been received by the Transfer Agent. The Fund will not be liable for any loss or damage that results from such delay.
- In the event that an investor should place funds equal to 5% or more of the value of the applicable sub-fund, an agreement pertaining to the withdrawal process will be negotiated between the said investor and the Fund, prior to investment, in order

that withdrawal of aforementioned fund does not unduly prejudice other investors.

#### 5. Combating money laundering/terrorism financing

- The Fund and/or the Transfer Agent reserves the right to reject an application that is incomplete, is not signed or is not accompanied by the relevant annexures and/or required identification/verification documents.
- The Fund and/or the Transfer Agent may require any additional information to the documents set out in this application form as may be necessary to comply with its duties and obligations in terms of its Anti-Money Laundering Policy.
- The investor confirms that the Fund and its Service Providers, in its absolute discretion, reserves the right not to open, operate or maintain any account for him/her/them and in particular, but without limitation, if he/she/they fail to provide any documents or information which may be required from time to time.
- The Fund and or the Transfer Agent reserves the right to terminate the business with the investor in the best interest of the Fund whereupon it will deposit the investor's assets with the "Caisse de Consignation" (public trustee office) without prior notice and with immediate effect.
- The investor confirms that all assets are not of criminal origin and are not linked to activities which infringe upon any applicable laws or regulations, and in particular, but without limitation, laws combating money laundering and the financing terrorism.

#### 6. Indemnification and jurisdiction

- The investor will hold harmless and indemnify the Fund and its Service Providers in relation to any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred either directly or indirectly out of or in connection with the operation of the investor unless due to fraud, the wilful misconduct or gross negligence.
- The indemnity is governed by and shall be interpreted in accordance with Luxembourg law.

- The courts of the Grand-Duchy of Luxembourg will have exclusive jurisdiction of all disputes arising from this indemnity.

#### 7. Tax obligations

- The Fund and/or the Transfer Agent is obliged under local laws and regulations to collect and report to the Luxembourg tax authorities and other relevant foreign tax authorities certain information about financial accounts held by some of its Account Holders. Without this information, no account may be opened. The investor must complete and submit the required FATCA and CRS Self-Certification provided as an annexure to this application form.
- The investor undertakes to comply with his/her/their tax obligations (declaration and payment of taxes) towards the authorities of the country/countries in which the he/she/they are required to pay taxes in respect of the assets deposited with the Bank or managed by the latter. This condition also applies, where applicable, to the ultimate beneficiary, whom the investor undertakes to inform.
- The investor is aware that holding certain assets may have tax implications irrespective of their tax residence. Any failure by the investor to comply with his/her/their tax obligations may render him/her/them liable, depending on the applicable laws of the country or countries in which the investor is required to declare/pay taxes, to financial penalties and criminal penalties.
- The investor is herewith made aware that pursuant to international agreements, the name of the contracting party and that of the ultimate beneficiary may be transmitted, on request and provided that the conditions of the said international agreements are satisfied, to the competent foreign authorities, including the tax authorities.

#### 8. Personal data: processing, disclosing, sharing and transferring of personal data

- The Fund and/or its Service Providers collect and use the investor's personal data as well as the

personal information of any representative of the investor's acting on his/her behalf, which includes the directors, employees, officers, intermediaries and/or beneficial owners of a representative of the investor who is not a natural person.

- Fund and/or its Service Providers collect and uses personal data of investors as well as the personal information of any representative of the investor's acting on his/her behalf, which includes the directors, employees, officers, intermediaries and/or beneficial owners of a representative of the investor who is not a natural person, to manage the relationship with the investor effectively, lawfully and appropriately and to comply with applicable laws and regulations. This includes, but is not limited to:
  - performing services in connection with the investor's application for shares in the Fund and any ongoing investment made into the Fund, which includes: i) account opening and managing and administering holdings in the Fund and any related accounts; ii) making disclosures to third parties such as auditors, regulatory, data protection and tax authorities, outsourced service providers and their delegates and technology providers as appropriate in order to manage and administer investor holdings in the Fund and any related accounts; and transferring information between Services Provides in pursuit of contractual arrangements to the extent that such personal information is required by the Fund and/or the Service Providers to meet its contractual obligations towards each other;
  - complying with any legal, regulatory or tax requirements applicable to the Fund or its Service Providers;
  - pursuing the legitimate business interests of the Fund or its Service Provider, which includes, but is not limited to: i) recording, maintaining and using recordings of telephone calls and electronic communications made to and received from the Fund and its Service Providers for matters relating to the investor's investment in the Fund; ii) dispute resolution;



- iii) record keeping; iv) security and/or training purposes; and v) disclosures to third parties, for example technology providers and other vendors, as may be required; and
  - protecting the Fund and its Service Providers' legal position in the event of any legal proceedings.
- An investor's/authorised representative's consent, including the consent of the directors, employees, officers, intermediaries and/or beneficial owners of a representative of the investor who is not a natural person, is not required to process his/her personal data for the purposes stated above.
- Failure to provide personal data as required, may, in certain circumstances, require the Fund and/or its Transfer Agent to refrain from making redemption or any applicable dividend payments to the investor and/or the Fund may be required to discontinue its business relationship with the investor by compulsorily redeeming the investor's shareholding in the Fund.
- The Fund and/or its Service Providers may conduct activities required to comply with anti-money laundering requirements (such as "know investor customer" checks and PEP, negative news, financial sanctions and other financial crime related screening programmes for the purposes of complying with applicable regulatory and legal requirements, including applicable sanctions regimes. The implementation of these activities and programmes may result in the Fund and/or the Services Providers refusing an application for shares in the Fund or delaying or refusing to make any redemption payment or distribution payment to investor if investor or investor's representative, which includes the directors, employees, officers, intermediaries and/or beneficial owners of a representative of the investor who is not a natural person, appear on such screening programmes or if the documentation provided does not satisfy applicable anti-money laundering requirements. In the event that the investor is identified as a PEP as a result of the screening process, investor may be required to provide additional information and/or documentation to the Fund and/or its Service Providers. Such processing, which may reveal investor political opinions or any trade union memberships, is considered lawful on the grounds of substantial public interest permitted under GDPR.
- The types of personal data collected by the Fund and/or its Service Providers include: name, date of birth, civil status, nationality, contact details (including postal or email address), banking details, passport or other identification document, invested amount and holdings in the Fund. The Fund and its Service Providers may also collect special categories of personal data in order to perform the activities and to conduct the screening programmes specified above. Such special categories of personal data may include political opinions or any trade union memberships. The Fund and/or its Service Providers shall only process any such special categories of personal data as permitted under applicable laws and regulations.
- Personal data collected from investor or provided by investor or on investor's behalf may be transferred outside of the jurisdiction of the Fund and its Service Providers, including to countries located outside the European Economic Area ("EEA") which may not have the same data protection laws as the jurisdiction in which the Fund and/or its Service Providers are located. These countries include (but are not limited to) the United States of America, India, Hong Kong, Thailand, Canada, Australia and Japan. In such circumstances, the Fund and/or its Service Providers will take the necessary steps to ensure that appropriate safeguards required by GDPR and other applicable laws and regulations, are put in place to protect the privacy and integrity of such personal data, such as the implementation of EU model contract clauses. Please contact [globalta@rezco.co.za](mailto:globalta@rezco.co.za) for information concerning such safeguards.
- The Fund and/or its Service Providers will retain all information and documentation provided by investor in relation to investor investment in the Fund for such period of time as may be required to provide services to investor and as required by applicable legal and regulatory requirements.
- The investor or the investor's representative, which includes the directors, employees, officers, intermediaries and/or beneficial owners of a representative of the investor who is not a natural

person, have the following rights in respect of his/her personal data:

- to be informed about the personal data the Fund and/or its Service Providers hold about him/her;
  - to access the personal data the Fund and its Service Providers hold about him/her;
  - to have his/her personal data rectified where it is inaccurate or incomplete;
  - to have his/her personal data erased in certain circumstances;
  - to obtain restriction of processing in certain circumstances;
  - to object to the processing in certain circumstances (e.g. to automated processing or profiling);
  - to data portability (i.e. to receive his/her personal data in a structured, commonly used and machine readable format and to have that personal data transmitted directly to another controller);
  - to lodge a complaint to the relevant Data Protection Authority if he/she considers that the processing of their personal data infringes GDPR or other applicable Data Protection Law;
  - to seek judicial remedy or, where relevant, compensation against the relevant data controller or processor in case of infringement of investor rights as a result of processing of investor personal data in non-compliance with GDPR;
- If investor wish to exercise any of investor rights against the Fund or its Service Providers, please contact us at [globalta@rezco.co.za](mailto:globalta@rezco.co.za). The Fund or, where appropriate, its Service Provider will respond to investor requests to exercise any of investor rights in writing, as soon as practicable and in any event within one month of receipt of investor request, subject to the provisions of the GDPR. The Fund or its Service Provider may request proof of identification to verify investor request.

- The Fund and its Service Providers are bound by either professional secrecy requirements and/or a common law or contractual duty of confidentiality and may not disclose personal data to the Fund and/or its Service Providers unless:
- such disclosure is permitted by applicable law or regulation; or
  - investor or the investor's representative, which includes directors or duly authorised employees, officers, intermediaries of a representative of the investor who is not a natural person, have consented to any such disclosure.

## 9. Complaints

- The Fund is committed to providing outstanding client service. If there is any dissatisfaction pertaining to our services, or any of our products, we would like to hear from investor.
- Any complaint must be directed to [complaints@rezco.co.za](mailto:complaints@rezco.co.za). The Fund will investigate the complaint and attend thereto as a matter of urgency.

## 10. Disclosure

- Collective investment schemes are generally medium to long-term investments.
- The value of participatory interests or the investment may go down as well as up.
- Past performance is not necessarily a guide to future performance.
- Collective investment schemes are traded at ruling prices and can engage in borrowing and scrip lending.
- A schedule of fees and charges and maximum commissions (*if applicable*) are set out in the Fund Prospectus and the KIID, and is available on request from the locally appointed manager.
- There is no guarantee either with respect to the capital or the return of a portfolio.

**DECLARATION**

- I, the investor, confirm that I have read through and understand the terms and conditions for investing in the Fund.
- I, the investor, agree with the terms and conditions for investing in the Fund.
- I, the investor, consent to the processing of my personal data to the extent required as set out in the terms and conditions.

INVESTOR <i>(including a dual-signatory)</i>	Name:
	Signature:
AUTHORISED SIGNATORY <i>(if different to investor)</i>	Name:
	Signature:
CO-SIGNATORY <i>(if applicable)</i>	Name:
	Signature:
DATE	

**ANNEXURE A: PERSONS AUTHORISED TO ACT IN RESPECT OF THE INVESTMENT ACCOUNT**

Person authorised to act on behalf of the investor		
• Individual person acting on behalf of the investor		Complete section (i)(a)
• Corporate person acting on behalf of the investor		Complete section (i)(b)
Joint account holder in respect of the investment account ( <i>dual-signatory</i> )		Complete section (ii)
Collective account holder / authorised person to act collectively in respect of the investment account ( <i>co-signatory</i> )		Complete section (ii)

**(i) Person authorised to act on behalf of the investor**

Please provide the details of the authorised person in the relevant section.

**(a) Individual person acting on behalf of the investor**

Title		Surname	
First Name(s)			
Date of Birth			
Country of birth			
Country of residence			
Identity or Passport Number			
Occupation			
Name of employer			
Residential Address			Postal code
Postal Address			Postal code
Home No.	Work No.		
Fax No.	Cell No.		
Email Address			
Can the authorised person, by nature of his/her occupation or otherwise, regarded as a PEP?	YES	NO	
If "YES", please specify:			

Is the authorised person associated with a PEP by marriage, blood relation or any other familial relationship?	YES	NO
If "YES", please specify:		

Required verification documents:

- certified copy of authorised person's Identity Document/Passport;
- proof of residence in the name of the authorised person;
- documentary proof of authority to act on behalf of the investor.

**(b) Corporate person acting on behalf of the investor**

Registered Name			
Registration Number			
Registered Address			
Postal Address			
Business Address			
Office No.	Fax No.		
Email Address			
<b>Regulated supervision of the corporate investor (if applicable)</b>			
Is the corporate investor regulated by a local supervisory authority?	YES	NO	
If "YES" please specify:			

The corporate person acting on behalf of the investor must submit a list of all authorised persons who may sign and submit an Investor Order Form on behalf of the corporate investor on a dated company letterhead setting out each person's name and surname, identity number and a signature sample together with instructions for the acceptance of any one / combination of signatures i.e. appropriate co-signatories

**(ii) Joint / Collective account holder details**

Title		Surname	
First Name(s)			
Date of Birth			

Country of birth			
Country of residence			
Identity or Passport Number			
Occupation			
Name of employer			
Residential Address			Postal code
Postal Address			Postal code
Home No.	Work No.		
Fax No.	Cell No.		
Email Address			
Preferred method for receiving statements	Email	Fax	
Source of wealth being invested <i>(if intended to benefit from the investment)</i>	Specify:  <i>Note: supporting documentation may be requested if deemed necessary to verify the above information.</i>		
Signature sample			
Can the joint or collective account holder, by nature of his/her occupation or otherwise regarded as a PEP?	YES	NO	
If "YES", please specify:			
Is the joint or collective account holder associated with a PEP by marriage, blood relation or any other familial relationship?	YES	NO	
If "YES", please specify:			

**DECLARATION**

- I confirm that I am duly authorised to complete and attended to this application form, including the annexures, on behalf of the investor.
- I confirm that I am duly authorised to provide the investor's personal data as required for the completion and administration of this application form, including the annexures.
- I acknowledge my rights in respect of my personal data and consent to the processing of my personal information to the extent required in accordance with the terms and conditions in the application form.

<b>PERSON AUTHORISED</b>	Name:
	Signature:
<b>DATE</b>	

**ANNEXURE B: ACCOUNT HOLDER'S SELF-CERTIFICATION FOR FATCA AND CRS**

- We, the Fund, are obliged under local laws and regulations to collect and report certain information about financial accounts held by some of our Account Holders for tax purposes.
- For joint or multiple Account Holders, please complete a separate Self-Certification Form for each Account Holder.
- If investor are completing the Self-Certification Form on behalf of the Account Holder, then investor should indicate the capacity in which investor have signed in Section (ii). For example, investor may be the custodian or nominee of an account on behalf of the account holder, or investor may be completing the Self-Certification Form under a signatory authority or power of attorney.
- If investor have any questions about this Self-Certification Form or defining investorr FATCA or CRS status, please speak to investorr tax adviser or local tax authority.
- For further information on CRS please refer to the OECD automatic exchange of information portal: <http://www.oecd.org/tax/automatic-exchange/>

**(i) Account Holder's tax details**

Title		Surname	
First Name(s)			
Residential Address			Postal Code
Country of birth			
Country of residence			
<b>Details the investor's tax status</b>			
Nationality/citizenship <i>(if more than one please specify)</i>			
Country of residence for tax purposes			
Tax reference number			
Are investor a registered tax payer of any country other than investor primary country of residence?	YES	NO	
If "YES", please specify and provide the relevant tax reference number			
Country:	TRN:		
Country:	TRN:		
<b>FATCA declaration of US citizenship or US residence for tax purposes</b>			
I confirm that I am a:	Non-US person		US person
			for tax purposes



(ii) **Declaration and undertaking**

- I declare that the information provided in this Self-Certification Form is, to the best of my knowledge and belief, accurate and complete.
- I undertake to advise the recipient within 30 days and provide an updated Self-Certification Form, where any change in circumstances occurs, which causes any of the information contained in this Self-Certification Form to be incorrect.
- I acknowledge that, in case the Country(ies) of Tax Residence listed in section 3 is/are CRS Reportable Jurisdiction(s), the information disclosed in this Self-Certification Form together with required information related to my financial account (as described in Annex I Section I of the Luxembourg CRS law: “Loi du 18 décembre 2015 relative à la Norme commune de déclaration (NCD)”) will be reported to the Luxembourg tax authorities or any other authorized delegates under Luxembourg law for tax purposes, and subsequently exchanged with the tax authorities of the CRS Reportable Jurisdiction(s) listed in section 3, pursuant to international agreements to exchange financial account information.
- I acknowledge that, as per Article 5 of the Luxembourg CRS law (“loi du 18 décembre 2015 relative à la Norme commune de déclaration (NCD)”), answering questions related to the information disclosed in this Self Certification Form is mandatory.
- I acknowledge my rights in respect of my personal data and consent to the processing of my personal information, and to the extent required, in accordance with the terms and conditions in the application form.

<b>ACCOUNT HOLDER</b>	Name:
	Signature:
<b>AUTHORISED SIGNATORY</b> <i>(if different to investor)</i>	Name:
	Signature:
<b>DATE</b>	

**ANNEXURE C: DECLARATION OF INVESTMENT, PURPOSE OF BUSINESS AND SOURCE OF FUNDS****(i) Declaration of investment**

I/We, the undersigned, \_\_\_\_\_, confirm that:

- I/We am investing on my/our own account and am/are beneficially entitled to the shares.
- I/We am investing on behalf of and for the benefit of another person / other persons who is/are beneficially entitled to the shares. *Please provide reason:* \_\_\_\_\_
- \_\_\_\_\_

**(ii) Subscription account details**

Please provide the details of the bank account from which the investment amount will be paid to the designated collection account. Future subscriptions (or top-up investments) may be made from another account, but the details of that bank account will have to be provided along with the transaction instruction.

Bank Name	
Jurisdiction / Address	
Account Name	
Account Number	
BIC / SWIFT	
IBAN	

**(iii) Redemption account details**

Please provide the details of the bank account in the name of the registered investor into which redemptions must be paid. We do not make payments to third parties, nor into credit cards, money market, bond or policy accounts.

Bank Name	
Jurisdiction / Address	
Account Name	
Account Number	
BIC / SWIFT	
IBAN	

Please provide us with a bank letter or a copy of a bank statement not older than three months in respect of the above account. Any change of redemption account details must be communicated in writing along with the required verification documentation.

**(iv) Purpose and intended nature of the business relationship**

In accordance with the requirements of the Luxembourg Anti-Money Laundering laws and regulations, including but not limited to the Luxembourg Law of 12th November 2004 (as amended), Funds Investors must confirm the purpose and intended nature of the business relationship with The Fund.

Please confirm the following in terms of investments foreseen into the Fund(s), which do not constitute any kind of commitment from the Investor or its beneficial owners.

Estimated trading frequency:

Daily

Weekly

Monthly

Ad-hoc

Level of expected investment:

Ranging between a currency equivalent to USD 0 to USD15K

Ranging between a currency equivalent to USD 15K to USD100K

Superior to a currency equivalent to USD 100K

<b>UNDERSIGNED</b>	Name:
	Signature:
<b>CO-SIGNATORY</b> <i>applicable</i>	Name:
	Signature:
<b>DATE</b>	