

## Davy Funds Plc

an open-ended umbrella investment company with variable capital and segregated liability between sub-funds (the “Fund”)

### Subscription / Application Form

Please complete this form in blue or black ink using BLOCK CAPITALS. This Application Form, together with the Money Laundering Verification Requirements and the Declaration of Irish Residence outside Ireland, constitutes your agreement to subscribe for Shares in the Fund. You should post or fax your subscription (in which case the original must also be forwarded) to Northern Trust International Fund Administration Services (Ireland) Limited (the “Administrator”) at the address below:-

On application please return to:

**The Administrator:**

**Davy Funds Plc Transfer Agency Team, Northern Trust International Fund Administration Services (Ireland) Ltd.,  
Georges Court, 54-62 Townsend Street, Dublin 2, Ireland**

**Phone: + 353 1 434 5122**

**Fax: + 353 1 434 5286**

**E-mail** Davys\_TA@ntrs.com

We wish to purchase:

SUB-FUND	SHARE CLASS	ACCUMULATING DISTRIBUTING	NUMBER OF UNITS	GROSS INVESTMENT AMOUNT
DAVY ETHICAL EQUITY FUND				
GLOBAL BRANDS EQUITY FUND				
DAVY DISCOVERY EQUITY FUND				
DAVY LONG TERM GROWTH FUND				
DAVY CAUTIOUS GROWTH FUND				
DAVY BALANCED GROWTH FUND				
DAVY STRATEGIC GLOBAL EQUITY FUND				
DAVY GLOBAL BOND FUND				
DAVY DEFENSIVE EQUITY INCOME FUND				
DAVY GPS UK CAUTIOUS GROWTH FUND				
DAVY GPS UK BALANCED GROWTH FUND				
DAVY GPS UK LONG TERM GROWTH FUND				
GLOBAL EQUITY INCOME FUND				
DAVY GLOBAL EQUITY FUND				
DAVY FIXED INTEREST FUND				
DAVY CASH FUND				
GLOBAL EQUITIES FOUNDATION FUND				
FACTOR EQUITY FOUNDATION FUND				
GLOBAL FIXED INCOME FOUNDATION FUND				
TARGET RETURN FOUNDATION FUND				

Please note that the original fully signed Application Form must be returned to the address indicated for forwarding to the Administrator appointed by the Fund if this is your first investment in the Shares of the Fund. No redemption or conversion or transfer requests may be processed prior to receipt of this original form and supporting documentation.

**1. NAME(S) FOR REGISTRATION (BLOCK CAPITALS)**

**1. Single Applicant: Full Name**

**2. Joint Applicants: (a) Full Name** \_\_\_\_\_

**(b) Full Name** \_\_\_\_\_

**(c) Full Name** \_\_\_\_\_

**(d) Full Name** \_\_\_\_\_

**Contact person (if different from above):  
Address**

\_\_\_\_\_

**Place of Incorporation**  
**Fax No.** \_\_\_\_\_  
**Email:** \_\_\_\_\_  
**PPS No.** \_\_\_\_\_

Date of Birth <sup>1</sup>(if applicable): \_\_\_\_\_

Full name where applicable of any beneficial owner of investor who owns more than 25% of the investment by the Nominee Company/Intermediary/ Company/Partnership/CIS/Trust/Public body:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

Note: If there are no beneficial owners please check the box below

DECLARATION - I/We declare that the information contained in this form, including the section entitled "Representations and Warranties" at pages 12 to 18, and any attached documentation is true and accurate to the best of my/our knowledge and belief.

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

Signed:	Signatory Capacity if applicable (i.e. Director/manager)
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

In the case of joint holders, ALL holders must complete this declaration.

**Investor Tax Residency**

Please tick (✓) the relevant box

- A) Non-U.S. taxpayer
- B) U.S. taxpayer\*
- C) One or more joint Applicants is a U.S. taxpayer
- D) Non-U.S. taxpayer holding shares on behalf of a U.S. taxpayer

If B, C or D has been ticked then each U.S. taxpayer must complete and sign IRS Form W-9 to certify their tax identification number. The form can be downloaded from [www.irs.com](http://www.irs.com). Failure to submit a completed IRS Form W-9 (where applicable) will result in a delay in the settling of redemption/dividend proceeds (no interest will accrue).

\*"U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

U.S. Taxpayers will be required to furnish the Administrator with a properly executed IRS Form W-9. Amounts paid to Unitholders who are U.S. Taxpayers as a distribution from the Fund, or as gross proceeds from a redemption of Shares, will generally be reported to Unitholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Unitholders who are U.S. Taxpayers) may subject such Unitholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Unitholders' U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Unitholders and certain other categories of Unitholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Unitholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

The administrator can issue electronic reports to shareholders. By ticking the box opposite, I hereby consent to electronic receipt of contract notes, statements and other reports which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

**2. BANK ACCOUNT DETAILS (MANDATORY)**

<sup>1</sup> Must be over 18 years of age.

Name of Bank \_\_\_\_\_

A/c Name \_\_\_\_\_ A/c Number \_\_\_\_\_

Address of Bank \_\_\_\_\_

Swift Code \_\_\_\_\_

IBAN Number \_\_\_\_\_

***NO THIRD PARTY PAYMENTS WILL BE UNDERTAKEN***

Please ensure that you have read the prospectus for the Fund (“the Prospectus”) before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus.

**NOTES:**

- (a) Please note bank charges may be deducted, see main prospectus for further details.
- (b) Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.
- (c) If subscribing for shares in more than one Sub-Fund investors must clearly mark the payment reference accounts for each particular Sub-Fund and the sub-account.
- (d) Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.
- (e) The Base Currency of the fund and the designated currency of any Shares will be set out in the relevant Supplement to the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant fund or the designated currency of the relevant Class.
- (f) Please ensure that you have read the prospectus for the Fund (“the Prospectus”) before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).
- (g) All Applicants should sign the necessary additional declarations on pages 19 & 21 Exempt from tax non –Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations appropriate

**All Applicants should sign the necessary declarations on page 4.  
Exempt from tax non-Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations on pages 4 and 5 respectively.**

**Distribution/Dividend Requirements<sup>1\*</sup>**

I/We would like our distribution re-invested  Paid by Telegraphic Transfer

**Distributions paid by Telegraphic Transfer will be paid to the account specified above. Should you require your distribution to be paid to another account, please enter the banking details below. Please note if no option is indicated such dividend payments will be reinvested.** Distributions due will automatically be re-invested if you have failed to provide satisfactory evidence of your identity in accordance with the Administrator’s anti-money laundering procedures notwithstanding any election to the contrary by you.

**Name of Bank** \_\_\_\_\_

**A/c Name** \_\_\_\_\_ **A/c Number** \_\_\_\_\_

**Address of Bank** \_\_\_\_\_

Swift Code \_\_\_\_\_

IBAN Number \_\_\_\_\_

*No third party payments will be undertaken*

### 3. ANTI-MONEY LAUNDERING REQUIREMENTS

In line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. For this purpose certain documentation will be required at the time of application. Failure to supply all of the necessary documentation will result in the rejection of any subsequent redemption instructions. Please tick the most appropriate box below::

Are you investing as

Individual  Corporate Entity  Trust

Regulated Entity within a prescribed country

\* A prescribed country is a country that has been designated by the Irish Minister for Justice as having anti-money laundering regulations equivalent to those in force in Ireland.

Please note that the customer due diligence requirements set out below are not exhaustive and the Fund may be under a legal obligation to request further information given the unique circumstances of each investor.

### 4. DEALING PROCEDURE

All application, redemption, transfer requests and instructions in relation to the Shares in the Sub-Fund must be received before the time(s) specified in the relevant supplement of the Prospectus for the Sub-Fund. Applications, redemptions and transfer requests received after that time will generally be deemed to have been received for the next Dealing Day. No redemption payment may be made until the original application form has been received and the Administrator is satisfied that all of the necessary anti-money laundering checks have been completed in full.

By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

### 5. METHOD OF PAYMENT

Please pay monies in accordance with the deadlines outlined in the relevant supplement of the Prospectus for the Sub -Fund. Please remit payment to the following bank account:-

<b>British Pound – GBP</b>	
<b>Intermediary Bank:</b> Barclays Bank PLC, London	
<b>SWIFT:</b> BARCGB22	
<b>Beneficiary Bank:</b> The Northern Trust International Banking Corporation, New Jersey	
<b>IBAN:</b> GB64BARC20325353529495	
<b>Beneficiary:</b> DAVY FUNDS PLC - 626986-20019	
<b>Reference:</b> *Contract number as advised earlier in this letter	
<b>Euro – EUR</b>	
<b>Intermediary Bank:</b> Barclays Bank PLC, London	
<b>SWIFT:</b> BARCGB22	
<b>Beneficiary Bank:</b> The Northern Trust International Banking Corporation, New Jersey	
<b>SWIFT:</b> CNORUS33	
<b>Beneficiary:</b> DAVY FUNDS PLC - 626978-20019	
<b>Reference:</b> *Contract number as advised earlier in this letter	

Please specify your Ordering Institution details for subscriptions

Currency \_\_\_\_\_

Correspondent Bank \_\_\_\_\_

Swift/ABA \_\_\_\_\_

Account Number \_\_\_\_\_

**MONIES MUST COME FROM THE ACCOUNT OF THE INVESTOR**

Currency subscription settlement times: GBP 14:00 GMT  
EUR 14:00 GMT

**6. Return of Values (Investment Undertakings) Regulations 2013**

The Fund must collect additional information in order to satisfy Return of Values (Investment Undertakings) Regulations 2013(S.I. 245 of 2013). Therefore any individual, company or any unincorporated body of persons which are an Irish resident or ordinarily Irish resident must provide the following additional information:

Tax Identification Number (TIN) / PPS Number	
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**Any one of the following additional documents is required to verify the TIN or PPS Number (either a copy or the original is sufficient)**

P60  
P45  
P21 Balancing Statement  
Payslip (where employer is identified by name or tax number)  
Drug Payment Scheme Card  
European Health Insurance Card  
Tax Assessment  
Tax Return Form  
PAYE Notice of Tax Credits  
Child Benefit Award Letter /Book  
Pension Book  
Social Services Card  
Public Services Card

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain your name, address and tax reference number will also be acceptable. In the case of **joint account holders**, the additional documentation is required for **each applicant**.

*Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the Fund in accordance with the Data Protection Acts 1988 to 2003. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.*

## 7. Entity FATCA and CRS Self-Certification

### Self-Certification for FATCA and CRS

#### Instructions for completion

We are obliged pursuant to the Intergovernmental Agreement Between the Government of Ireland and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA, Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law. If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

If any of the information below changes in the future, please ensure that we are advised of these changes promptly.  
**(Mandatory fields are marked with an \*)**

#### Entity Self-Certification

Investors that are **individuals** should not complete this form and should complete the form entitled "Individual Self-Certification".

#### Section 1: Investor Identification

Investor Name\*: \_\_\_\_\_ (the "Entity")

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

#### Current Registered Address\*:

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

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

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

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

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

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

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

#### Section 2: FATCA Declaration Specified U.S. Person:

Please tick either (a), (b) or (c) below and complete as appropriate.

a) The Entity is a *Specified U.S. Person* and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN: \_\_\_\_\_

Or

b) The Entity is **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5)

Or

c) The Entity is a US person but **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5)

**Section 3: Entity’s FATCA Classification\* (the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5):**

**3.1 Financial Institutions under FATCA:**

If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity’s GIIN at 3.2

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	
II.	<i>Registered Deemed Compliant Foreign Financial Institution</i>	
III.	<i>Participating Foreign Financial Institution</i>	

**3.2** Please provide the Entity’s *Global Intermediary Identification number (GIIN)* \_\_\_\_\_

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

I.	The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide the sponsor’s name and sponsor’s <i>GIIN</i> : Sponsor’s Name: _____ Sponsor’s <i>GIIN</i> : _____	
II.	<i>Exempt Beneficial Owner</i>	
III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

**3.4 Non-Financial Institutions under FATCA:**

If the Entity is not a *Financial Institution*, please tick one of the below categories

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity</i> <i>(If this box is ticked, please include self-certification forms for each of your Controlling Persons)</i>	
III.	<i>Excepted Non-Financial Foreign Entity</i>	

**Section 4: CRS Declaration of Tax Residency (please note that you may choose more than one country)\***

Please indicate the Entity’s country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers (“TIN”).

**NOTE:** Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN).

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

Country of Tax Residency	Tax ID Number



**Section 5: Entity's CRS Classification\***(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3):

For more information please see the CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**5.1 Financial Institutions under CRS:**

If the Entity is a *Financial Institution*, please tick one of the below categories

I.	<i>Financial Institution under CRS(other than (II) below)</i>	
II.	An <i>Investment Entity</i> located in a <i>Non-Participating Jurisdiction</i> and managed by another <i>Financial Institution</i> (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification forms for each of your Controlling Persons **)	

**5.2 Non Financial Institutions under CRS:**

If the Entity is a *Non Financial Institution*, please tick one of the below categories

I.	<i>Active Non-Financial Entity</i> – 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	
II.	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank	
III.	<i>Active Non-Financial Entity</i> – an International Organisation	
IV.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	<i>Passive Non-Financial Entity</i> (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s) )	

**\*\*Controlling Person's:**

**NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form.**

**If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.**

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.*

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

## Section 6: Declarations and Undertakings

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I/We undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

**Authorised Signature(s)\*:**

\_\_\_\_\_

**Print Name(s)\*:**

\_\_\_\_\_

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

\_\_\_\_\_

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

## 8. Individual FATCA and CRS Self-Certification

### Individual (Controlling Person's) Self-Certification

#### Instructions for completion

Please note that where there are joint or multiple account holders each investor is required to complete a separate Self-Certification form.

**Sections 1, 2, 3 and 5 must be completed by all investors.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.**

For further guidance see.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

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

#### Section 1: Investor Identification

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

**Current Residential Address\*:**

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

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

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

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

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

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

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

**Place Of Birth\***

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

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

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

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

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

\_\_\_\_\_

**OR**

(b) I confirm that [I am not]/[the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

**Section 3: CRS Declaration of Tax Residency (please note you may chose more than one country)\***

Please indicate your/ the investor’s country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers (“TIN”). Please see the CRS Portal for more information on Tax Residency.

Country of Tax Residency	Tax ID Number

**NOTE:** Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a TIN.

**Section 4 – Type of Controlling Person**

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

For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person

<i>Please Confirm what type of Controlling Person applicable under CRS that applies to you/the investor by ticking the appropriate box.</i>	<b>Please Tick</b>	<b>Entity Name</b>
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust - settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

**Section 5: Declaration and Undertakings:**

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature\*: \_\_\_\_\_ Print Name\*: \_\_\_\_\_

Date: (dd/mm/yyyy)\*: \_\_\_\_\_ Capacity\*:

## 9. SIGNATURES AND DECLARATIONS

- I/We confirm that I am/we are 18 years of age or over and have the full right, power and authority to make the investment pursuant to this Application Form whether this investment is in my/our own name or is made on behalf of another person or institution.
- I/We, having received and considered a copy of the current Prospectus, any relevant supplements thereto, the Memorandum and Articles of Association of the Fund as may be amended from time to time and the most recent annual and/or semi-annual report of the Fund (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Application Form and that I/we am/are bound by the terms of the Prospectus, Memorandum and Articles of Association of the Fund and this Application Form. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document ("**KIID**") has been supplied to me/us in good time prior to making the application for Shares. I/We confirm that I/We have read the KIID and reviewed and understood the nature and the risks of the investment products that are being offered to me/us, and that any future investments to any other Sub-Fund or Share Class of the Fund can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at [www.davy.ie](http://www.davy.ie) and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Fund.
- We are aware that copies of the Prospectus, KIID(s), latest annual and semi-annual reports and other information may be obtained from the registered office of the Fund at George's Court 54-62 Townsend Street, Dublin 2, Ireland. I/We give full consent to receiving the Prospectus, latest annual and semi-annual reports and KIID(s) by means of electronic\* communication. I/We acknowledge that I/we have been given a choice between hard copy and electronic delivery and I/we confirm that I/we have elected to receive any relevant documentation, including the KIID, electronically.
- I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or semi annual report (if available) thereto.
- In the event of any dispute or claim arising under this Application Form or the Prospectus, or relating to the Shares in the Fund I/we submit to the exclusive jurisdiction of the Irish Courts.
- I/We acknowledge that the Fund reserves the right to reject any application in whole or part without assigning any reason therefore.
- I/We certify that I am/we are eligible to invest in the Sub-Fund and I am/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Sub-Fund nor do I/we intend transferring any Shares which I/we may purchase to any person or entity who/which is not eligible to invest in the Sub-Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Application Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Sub-Fund may direct, including where appropriate, redemption of my/our entire holding.

- I/We agree to indemnify and hold harmless the Fund, the Investment Manager, the Administrator, on its own behalf and as agent of the Sub-Fund, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including without limitation legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section or in any document delivered by me/us to the Fund or any of them and shall notify the Fund immediately if any of the representations herein made are no longer accurate and complete in all respects.
- I/We declare that I am/we are authorised as..... (description) by the (regulatory body) under the laws of..... (country) and am/are thereby subject to regulations and/or guidelines which to the best of my/our knowledge and understanding are in accordance with or equivalent to the Third EU Money Laundering Directive on the prevention of money-laundering and terrorist financing. We attach independent verification of our regulatory status. This application is made in my/our name on behalf of my/our clients whose identity has been properly verified by me/us in accordance with the guidelines. Evidence of such verification will be retained for such period as is required by the country of our domicile and will be promptly supplied to the Administrator or the Fund upon request. We confirm that we have adopted measures to prevent and detect the commission of an offence of financing terrorism and that all employees, directors and other officers have received the appropriate level of training to ensure these measures are applied. Furthermore, should our authorisation or registration as noted above be revoked or altered at any future time or if the situation with regard to any of the clients introduced has changed, we undertake to advise you immediately. We further confirm we will provide the Administrator with a letter of assurance in connection with these matters in a form acceptable to the Administrator, if requested. A Regulated Entity is a regulated credit institution or financial institution which carries on business in Ireland as a designated person (as defined by the Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 (as amended)), or is situated in another Member State or a country that has been designated by the Irish Minister for Justice as having anti-money laundering regulations equivalent to those in force in Ireland
- I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Shares by me/us in the Fund.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.
- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- I/We acknowledge the right of the Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- I/We understand that the Company operates a single collections account in the name of the Company through which subscription monies and redemption proceeds and dividend income (if any) for each Fund are channeled. I/We further understand that this collections account shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held by the Company in the collections account for the account of a Fund at a point where such Fund (or another Fund of the Company) becomes insolvent. Upon receipt into the collections account, subscription monies, redemption proceeds or dividend income will be the property of the relevant Fund and accordingly you

will be treated as a general creditor of the relevant Fund during the period such monies are held in the collections account.

➤ Please **tick (✓)** as appropriate:-<sup>2</sup>

- (a)  I am a U.S. Person (as defined in the Prospectus) and have completed the Application Form<sup>3</sup> for applicants who are U.S. Persons; or
- (b)  I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular: (a) I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person; (b) I am not/none of us is a U.S. Person; and (c) I am not/none of us is/are acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.

➤ I/We will hold Shares on behalf of a U.S. Taxpayer (as defined below):

Yes  No  (please tick the appropriate box)

If the “yes” box is ticked, then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Fund with such additional tax information as it may from time to time request.

“U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organized in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person”. For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer”.

➤ I/We declare that the entity hereby subscribing for Shares is neither a Benefit Plan Investor (“**BPI**”) nor investing on behalf of or with any assets of a BPI as defined below. BPIs should contact the Fund. “Benefit Plan Investor” is used as defined in U.S. Department of Labor (“**DOL**”) Regulation § 2510.3-101(f)(2), and includes (i) any employee benefit plan (as defined in Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended (“**ERISA**”)), whether or not such plan is subject to Title I of ERISA (which includes both U.S. and non-U.S. plans, plans of governmental entities as well as private employers, church plans, and certain assets held in connection with nonqualified

<sup>2</sup> Client Client’s US counsel to review.

<sup>3</sup> Client’s US counsel to provide US Person specific Application Form.



deferred compensation plans); (ii) any plan described in Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the “Code”) (which includes a trust described in Code Section 401(a)) which forms a part of a plan, which trust or plan is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Section 408 or 408A or an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d) and an education savings account described in Code Section 530); and (iii) any entity whose underlying assets include plan assets by reason of a plan’s investment in the entity (generally because 25 per cent. or more of a class of interests in the entity is owned by plans). Benefit Plan Investors also include that portion of any insurance company’s general account assets that are considered “plan assets” and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.

- If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association (“NFA”), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.
- Investment Fund Representations:
  - (a)  I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the “1940 Act”), nor an issuer that, but for an exception from the definition of “investment company” under the 1940 Act, would be an investment company,
  - (b)  I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.

I/We have \_\_\_\_ U.S. Person beneficial owner(s).

*(State the number, not the percentage, of U.S. Person beneficial owners. Investment companies with U.S. Person beneficial owners must contact the Administrator.)*

- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.
- I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
- The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile. I/We hereby agree to indemnify the Fund and the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Fund and the Administrator acting upon facsimile instructions. The Fund and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

- I/We agree to provide to the Fund and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require in connection with this investment. Should any information furnished to any of them become inaccurate or incomplete in any way, I/We hereby agree to notify the Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.
- I/We acknowledge that due to AML requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.
- In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- I/We consent to personal information obtained in relation to me/us being handled by the Administrator, the Fund, the Custodian or the Investment Manager and their delegates, agents or affiliates in accordance with the Irish Data Protection Acts 1988 to 2003. Information in relation to me/us will be held, used, disclosed and processed for the purposes of (a) managing and administering my/our holdings in the Fund and any related account on an ongoing basis; (b) for any other specific purposes where I have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal, tax or regulatory obligations including legal obligations under company law, tax law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not which may not provide adequate protection of personal data) to third parties including my/our financial adviser (where appropriate), regulatory bodies, taxation authorities, auditors, technology providers or to the Fund and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) For other legitimate business interests of the Fund. I/We hereby acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. I/We understand that the Fund is a data controller and will hold any personal information provided by me/us in confidence and in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act 2003. I/We consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Fund, the Custodian or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for processing and verification of instructions, management and administration of my/our account(s) and any other matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes. I/We consent to the Fund or the Investment Manager sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/We understand that I/we have a right not to receive such information.
- I/We hereby authorise the Fund and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Fund for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- I/We shall provide the Fund and the Administrator with any additional information which it may reasonably request in connection with tax and/or FATCA regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we

authorise the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.

- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Funds and/or Share Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.
- I/We hereby represent and declare that I/we am/are fully informed as to: (i) the legal requirements within my/our country for the purchase of Shares and are permitted to purchase the Shares under the laws and regulations of my/our home country in the manner in which the Shares have been offered and sold to me/us; (ii) any foreign exchange restrictions applicable to me/us; and (iii) any relevant tax considerations relating to me/us arising out of my/our purchase and ownership of Shares.
- I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
- I/We also warrant and declare that the monies being invested pursuant to this Application Form do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- I/We acknowledge that the Fund or the Administrator also reserves the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Directors or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Fund, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction. I/We hereby hold the Fund and the Administrator harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us.
- I/We acknowledge that the Fund reserves the right to cancel without notice any contract for which payment has not been received by the relevant Settlement Date and to recover any losses incurred.
- If any of the foregoing representations, warranties or covenants ceases to be true or if the Fund no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Fund may be obligated to freeze my/our investment, either by prohibiting additional investments, investment may immediately be redeemed by the Fund, and the Fund may also be required to report such action and to disclose my/our identity to the Office of Foreign Asset Control ("OFAC") or other authority. In the event that the Fund is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the Fund, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.

- I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution. Redemptions will not be processed on non-cleared/verified accounts.
- We confirm that the persons listed on the attached authorised signatories list and whose specimen signatures appear on that list are duly authorised to give instructions with respect to Shares held by us in the Fund. (For corporate applicants only).
- I/We hereby agree that in order to allow the Fund comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("FATCA") or the OECD Common Reporting Standard ("CRS"), I/we will:
  - a. Provide the (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA or CRS reporting; and
  - b. Permit the Fund to:
    - (a) Share such information with the US Internal Revenue Service, Irish Revenue or other relevant tax or other government authority as required by FATCA or CRS;
    - (b) Compel or effect the sale of the Shares or repurchase and cancel the Shares if it fails to comply with the foregoing requirement; and
    - (c) Make any other amendments to any other documents entered into in connection with the subscription ("Transaction Documents") as may be necessary to enable the Fund to comply with the FATCA or CRS.
- From 1 July 2014, the Sub-Fund will be obliged to collect certain information about you concerning US residency or citizenship, as set out below. If your Application pre-dates 1 July 2014, you may wish to volunteer the following information in order to avoid the Administrator contacting you thereafter to collect this information. However there is no legal obligation to provide this information prior to 1 July 2014.
  - 1. Tick this box if you are resident in the U.S. or if you are a U.S citizen;
  - 2. Tick this if you are not resident in the U.S. for tax purposes or a U.S. citizen. 
    - i. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are neither resident in the U.S. nor U.S. citizens
    - ii. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are either resident in the U.S. or U.S. citizens
- In addition to the Tax Information, I/we agree to promptly provide, at any times requested by the Fund, any information (or verification thereof) the Fund deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provisions of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Fund to withdraw from the Fund if necessary to comply with the FATCA and the IGA.
- By providing the Tax Information, I/we represent and warrant the completeness and accuracy of such information (as at the date of submission) and authorise the Fund to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. The Fund shall have no obligation to carry out any investigation with respect to the truth,

accuracy or completeness of the Tax Information provided by us and I/we will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and accurate Tax Information.

- I/We hereby acknowledge that if I/we fail to provide the Tax Information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's Share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.
- I/We hereby acknowledge that if I/we fail to provide the Tax Information and such failure results in the Fund being unable to comply with the IGA, the Fund may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.

**Declaration of Residence Outside Ireland**

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

**Declaration on own behalf**

I/we\* declare that I am/we are\* applying for the shares on my own/our own behalf/on behalf of a company\* and that I am/we are/the company\* is entitled to the shares in respect of which this declaration is made and that

- I am/we are/the company is\* not currently resident or ordinarily resident in Ireland, and
- should I/we/the company\* become resident in Ireland I will/we will\* so inform you, in writing, accordingly.

**\*Delete as appropriate (mandatory)**

**Declaration as Intermediary**

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

- who will be beneficially entitled to the shares; and,
- who, to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident in Ireland.

I/we\* also declare that:

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

**\*Delete as appropriate (mandatory)**

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

\_\_\_\_\_

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

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

Joint applicants:

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

\_\_\_\_\_

**IMPORTANT NOTES**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.

2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.

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

<sup>1</sup>**Declaration of Residence within Ireland**  
**Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997**

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

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the shares on behalf of the applicant named below who is entitled to the shares in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick as appropriate).
  - A pension scheme
  - A company carrying on life business within the meaning of section 706 TCA 1997
  - An investment undertaking
  - A special investment scheme
  - A unit trust to which section 731(5) (a) TCA 1997 applies;
  - A charity being a person referred to in section 739D(6)(f)(i) TCA 1997;
  - A qualifying management company for the purposes of the Finance Act.
  - A specified company
  - Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 787I of the TCA 1997, (see further requirements for Qualifying Fund Manager below).
  - A PRSA Administrator;
  - A credit union to which Section 2 of the Credit Union Act, 1997 applies.

**Additional requirement where the declaration is completed on behalf of a pension scheme, a company carrying on life business within the meaning of section 706 TCA 1997, an investment undertaking, a special investment scheme, a unit trust to which section 731(5) (a) TCA applies, a qualifying management company or a credit union to which Section 2 of the Credit Union Act 1997 applies**

- I undertake that, in the event that the shares cease to be assets of the \*pension scheme/company carrying on life business within the meaning of section 706 TCA 1997/investment undertaking/special investment scheme/unit trust to which section 731(5) (a) TCA applies/qualifying management company/credit union to which Section 2 of the Credit Union Act 1997 applies, including a case where the shares are transferred to another such entity, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\*Delete as appropriate).

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

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

**Additional requirements where the declaration is completed by a Qualifying Fund Manager / Qualifying Savings Manager/ PRSA Administrator**

I also declare that at the time this declaration is made, the share in respect of which this declaration is made;

- Are assets of an \*approved retirement fund/an approved minimum retirement fund, a special savings incentive account or a PRSA and
- Are managed by the declarant for the individual named below who is beneficially entitled to the shares.

I undertake that, if the shares cease to be assets of the \*approved retirement fund/the approved minimum retirement fund, including a case where the shares are transferred to another such fund, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\* Delete as appropriate).

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

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

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

I/we\* also declare that

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

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

<sup>2</sup> **Irish Tax Reference Number of Applicant:** \_\_\_\_\_

<sup>3</sup>**Authorised Signatory:** \_\_\_\_\_ **(Declarant) (Mr/Ms/etc.)**

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

**IMPORTANT NOTES**

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

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

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



**SIGNATURE**

I / We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

Date:	_____	
Signed:		Signatory Capacity if applicable (i.e. Director/manager)
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

**In the case of joint holders, ALL holders must complete this declaration.**

**Anti-Money Laundering ("AML") Verification Requirements in accordance with  
The Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 (as amended)**

**Guide to completing this form.**

- **Part I** Beneficial Ownership Detail must be provided by **All Applicants**
- **Part II** To be completed by [any applicant which is a Recognised Regulated Entity; e.g. a bank, provider](#) of financial services [or](#) nominee [company](#) investing on its own behalf or on behalf of a third party and if regulated for compliance with applicable Anti Money Laundering regulations in a Prescribed Country<sup>4</sup>
- **Part III** To be completed by any **Individual (s) investing in their own name**
- **Part IV** To be completed by any **Unregulated Nominee Company** that does not fall within scope of Part II above.
- **Part V** To be completed by any **Politically Exposed Person(s)** investing into the Fund.
- **Part VI** To be completed by **Other Investors** investing into the Fund.

**Note that, in all cases the Administrator or Fund may, at its absolute discretion request further due diligence documentation/ information to satisfy applicable procedural and regulatory requirements.**

<sup>4</sup>Prescribed Countries as set out in SI 347 of 2012: Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States, The Dutch overseas territories of Netherlands Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba. The French overseas territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis & Futuna .

**PART I – Beneficial Ownership Detail**

Full Name of any Individual with a beneficial interest of 25% or more in this investment: or anyone who otherwise exercises control of the legal entity, where applicable:

1. \_\_\_\_\_ 2. \_\_\_\_\_  
3. \_\_\_\_\_ 4. \_\_\_\_\_

**Note:** If there is/ are no Individual(s) with a beneficial interest of 25% or more in this investment or anyone that otherwise exercises control of the legal entity, where applicable please check the box below:

**PART II – [Recognised Regulated Entities](#)**

Applicant is a Recognised Regulated Entity (as previously defined) acting on its own account or on behalf of a third party

YES

Name of Regulatory Authority:

\_\_\_\_\_

Applicable Domestic Regulations:

\_\_\_\_\_

**PART III - Individual(s)**

**Please provide**

1. A copy photographic identity document e.g. Passport or Driver’s Licence and
2. Two copies of non-photographic identity documents<sup>5</sup> e.g. utility bill / bank statement dated within the last six months.

Current Occupation (s)

\_\_\_\_\_

Date of Birth

\_\_\_\_\_

**In the case of joint account holders, please supply the relevant documentation and information in respect of all holders.**

\_\_\_\_\_

5. Please contact the Administrator directly if you have any queries

**PART IV – Unregulated Nominee Company**

Please provide

1. Standard Reliance Letter<sup>6</sup> and
2. Proof of Regulatory Status of Parent Company or
3. Documentation in accordance with the legal form of the Nominee Company (see Part VI)

**PART V – Politically Exposed Persons**

A **Politically Exposed Person** is defined as an individual who is or was at any time in the preceding 12 months entrusted with a prominent public function or immediate family members of such persons or persons known to be close professional associates of such persons.

Please confirm whether you are a **Politically Exposed Person (PEP)** YES:  NO:

**Required Identity Verification Documentation**

1. Certified Copy Photographic Identity Document e.g. Passport or Driver’s Licence and
2. Two Certified Copies of Proof of Residential Address Verification e.g.utility bill / bank statement dated within the last six months
3. Source of Funds
4. Source of Wealth

**Note:** In terms of certified documents, this means that there is an original signature on the document from a suitable person confirming the documents are a true copy of the original, and they will need to sign and date it, printing their name, occupation, address, telephone number and email address. Suitable persons include any of the following; police officer, practicing solicitors, embassy consular staff, financial institutions, medical professions, notaries public. The person certifying the documents should be independent of the investor.

**A. Source of Funds**

Please provide details

Earnings from Employment	from	Employment/Self	<input type="checkbox"/>	Inheritance or Gift	<input type="checkbox"/>
Investment Income			<input type="checkbox"/>	Matured Investment	<input type="checkbox"/>
Lump Sum Retirement			<input type="checkbox"/>	Court Award	<input type="checkbox"/>
Sale of Property			<input type="checkbox"/>	Other – please specify below	<input type="checkbox"/>

<sup>6</sup> To be requested from the Administrator


Other

**B. Source of Wealth**

**Please provide a brief description of your source of wealth** (source of total accumulated net worth)

**PART VI – OTHER INVESTORS (Standard Customer Due Diligence)**

If you fall under one of the investor categories outlined below please provide documents evidencing the requested information.

**Note that, in all cases this is an indicative list only and the Administrator or Fund may, at its absolute discretion request further due diligence documentation/ information to satisfy applicable procedural and regulatory requirements.**

**Listed Company on a Recognised Exchange<sup>7</sup>**

1. Please provide Proof of Listing on a recognised stock exchange in a Prescribed Country

**Listed Company – Not Appearing on a Recognised Exchange**

**Please provide:**

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered office address of the company.
5. Principal business address of the company.
6. Details of Directors of the company- including name, residential address and date of birth.
7. Detail of any beneficial owners who are natural persons, who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
8. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any Beneficial Owner
9. Verification of identity of Company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.

**Wholly Owned Subsidiary of a Listed Company**

**Please provide**

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered office address of the subsidiary company.
4. Principal business address of the subsidiary company
5. Details of Directors of the company - including name, residential address and date of birth.
6. Detail of any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the

<sup>7</sup> A Recognised Exchange is regulated under MiFid or deemed to have equivalent transparent rules

Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

7. Confirmations as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) provide identity detail for any Beneficial Owner.
8. Verification of identity of the subsidiary company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.

### **Private Company**

#### **Please provide**

1. Full name of the company.
2. Registered number of the company.
3. Registered office address of the company.
4. Principal business address of the company.
5. Details of directors of the company- including name, residential address and date of birth.
6. Documentation to verify the identity of two directors or one director and one authorised signatory in line with legal form (If individuals, one proof of ID and one proof of address is required).
7. Detail of any beneficial owners who are natural persons, own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
8. Verification of identity of the company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of audited financial statements.

### **Partnership**

#### **Please provide**

1. Full name of the partnership.
2. Registered office address
3. Principal business address of the partnership.
4. Detail of all partners- including name, residential address and date of birth.
5. Documentation to verify the identity of two partners or one partner and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
6. Detail of any partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the partnership. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form. Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).
7. Constitutional Document for the partnership (e.g. Partnership Agreement).

### **Limited Liability Company**

#### **Please provide**

1. Full name of the LLC.
2. Registered office address of the LLC.
3. Principal business address of the LLC.
4. Details of all Managing Members- including name, residential address and date of birth.

5. Documentation to verify the identity of two Managing Members or one Managing Member and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
6. Detail of any Member beneficially entitled to more than 25% of the entity's share capital or otherwise exercise control over the management of the entity. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Constitutional Document
8. Operating Agreement.

**Collective Investment Scheme ('CIS')**

**Please provide**

1. Full name of CIS.
2. Registered address of CIS.
3. Prospectus or equivalent.
4. Name and address of scheme promoter.
5. Name and address of scheme administrator.
6. Name and address of entity carrying out anti-money laundering checks upon the scheme investors and confirmation that entity is regulated for AML purposes.
7. Identity detail for any investors who own more than 25% of the share capital.

**Trust, Foundation or similar entity**

**Please provide**

1. Full name of trust, foundation or similar entity.
2. Registered address of trust, foundation or similar entity.
3. Legal form of the trust, foundation or similar entity.
4. Trust deed or equivalent or confirmation of the entity to an appropriate register.
5. Detail of Nature / purpose of the Trust, foundation or similar entity.
6. Details of all trustees- including name, residential address and date of birth.
7. Documentation to verify the identity of two trustees or one trustee and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
8. Identity detail for any beneficial owners who own more at least 25% of the share capital or voting rights or otherwise exercises control over the trust. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form. Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).
9. Details of settlor- including name, residential address and date of birth, as applicable
10. Details of protector (as appropriate)- including name, residential address and date of birth, as applicable

**Employee/ Superannuation Pension Scheme**

**Please provide**

1. Proof of registration from the relevant tax authorities

**General Pension Scheme**

**Please provide**

1. Full name of the pension scheme.
2. Registered office address of the pension scheme.
3. Confirmation of registration (as appropriate) from the relevant tax authorities or pension's board **or**
4. Documentation to verify the identity of two Trustees / Directors/Governors/Board Members or one Trustee/ Director/Governor/ Board Member and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
5. Constitutional/Formation Document (e.g. Trust Deed).

**Registered Charity**

**Please provide**

1. Extract from the relevant Charities Register e.g. UK Charities Commission

**Unregistered Charity**

**Please provide**

1. Full name of the charity.
2. Nature/purpose including the nature of the funding of the charity.
3. Registered office address of the charity.
4. Principal business address of the charity.
5. Details of Trustees/Directors/ Governors/Board Members or equivalent.- including name, residential address and date of birth.
6. Documentation to verify the identity of two Trustees / Directors/Governors/Board Members or one Trustee/ Director/Governor/ Board Member and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
7. Details of beneficiaries (where ascertainable).
8. Constitutional/Formation Document for the charity

**Club or Society**

**Please provide**

1. Full name of the club/society.
2. Registered office address of the club/society.
3. Nature/Purpose including the nature of funding of the club/society.
4. Confirmation of the legal status of the club/society.
5. Constitutional/Formation Document (e.g. Trust Deed) and / or copy of audited financial statements (if available).
6. Details of officers of the club/society.
7. Documentation to verify the identity of two officers of the Club/Society or one officer and one authorised signatory (If individuals, one proof of ID and one proof of address is required)

**Government / Public Body in a Prescribed Country**

**Please provide**

1. Background from a reliable source (e.g. internet search) .

**Government/ Public Body in Non Prescribed Country**

**Please provide**

1. Full name of the government/public authority.
2. Nature and status the government/public authority.
3. Registered office address of the government/public authority.
4. Name of the home state authority and nature of its relationship with the government/public authority.
5. Detail of ownership of the government/public authority.
6. Details of main public body officials- including name, residential address and date of birth.
7. Identity detail for all persons who own or control over 25% of the entity's share capital, profit or voting rights or otherwise exercises control over the management of the entity.  
Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
8. Appropriate background information on the entity (e.g. via internet search).

**School, College or University****Please provide**

1. Full name of school, college or university.
2. Registered office address school, college or university.
3. Detail to allow verification of identity of school, college or university from relevant registers and/or from obtaining appropriate background information (e.g. via internet search).
4. Documentation to verify the identity of two officials or one official and one authorised signatory (If individuals, one proof of ID and one proof of address is required) or 6 and 7 below.
5. Confirmation of ownership of the entity. In particular, confirmation of public ownership or independent ownership.
6. Where independently owned, identity detail of all persons who own or control over 25% of the entity's share capital, profit or voting rights. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Detail of main officials of school, college or university- including name, residential address and date of birth.



