

# Nedgroup Investments International

## Client application for individuals



For shares in Nedgroup Investments Funds Plc (incorporated in Ireland as an investment company with variable capital as a UCITS under registration number 543817) and/or for shares in Nedgroup Investments MultiFunds Plc (incorporated in Ireland as an investment company with variable capital as a UCITS under registration number 502599), (jointly the Companies).

## 1. Agreement details

1. This application, together with all appendices and exhibits hereto (the 'Agreement') is governed by Irish law.
2. Please use BLOCK CAPITALS and blue or black ink only. Do not use correction fluid; any amendments should be crossed out and initialled.
3. Please complete ALL sections in FULL. Failure to fully complete the application may result in your investment being delayed.
4. Any incomplete information will need to be confirmed in writing by the applicants once the Administrator has received the application.
5. The address of the first named will be used for correspondence.
6. Please ensure that the appropriate declarations are signed and all sections are completed in full.

## 2. Client details

**FIRST HOLDER**

Title and surname	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>									
First and middle name(s)	<input type="text"/>													
Former / maiden name(s)	<input type="text"/>													
National ID number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nationality	<input type="text"/>	
Passport number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Occupation	<input type="text"/>	
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>					
Town of birth	<input type="text"/>								Country of birth	<input type="text"/>				
Employer (former employer if retired)	<input type="text"/>													
Residential address	<input type="text"/>								Correspondence address (if different)	<input type="text"/>				
	<input type="text"/>									<input type="text"/>				
	<input type="text"/>									<input type="text"/>				
Country	<input type="text"/>								Country	<input type="text"/>				
Postal code	<input type="text"/>								Postal code	<input type="text"/>				
Telephone (cell)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Telephone (landline)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Telephone (work)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Email address	<input type="text"/>													

FIRST HOLDER: Self Certification – for FATCA and CRS

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. 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 with relevant tax authorities. This Agreement is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this section of the Agreement 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 to the OECD CRS Information Portal at <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

Please complete sections A and B below:

Section A:

I certify that I am a US Citizen and/or resident in the US for tax purposes (please tick) ☐

My US Tax Identification Number (TIN) is:

OR

I certify that I am NOT a US Citizen or resident in the US for tax purposes (please tick) ☐

Section B: CRS Declaration of Tax Residency (please note you may choose 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.

DECLARATION AND UNDERTAKINGS: FIRST HOLDER

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

I acknowledge that the information contained in this Agreement and the information regarding the Account Holder may be reported to the tax authorities of the country in which this account is 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 Companies 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.

Signature

Date

Please ensure you also sign at Section 14.



**SECOND HOLDER** (if applicable)

Title and surname	<input type="text"/>												
First and middle name(s)	<input type="text"/>												
Former / maiden name(s)	<input type="text"/>												
National ID number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nationality	<input type="text"/>
Passport number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Occupation	<input type="text"/>
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Town of birth	<input type="text"/>								Country of birth	<input type="text"/>			
Employer (former employer if retired)	<input type="text"/>												
Residential address	<input type="text"/>								Correspondence address (if different)	<input type="text"/>			
	<input type="text"/>									<input type="text"/>			
	<input type="text"/>									<input type="text"/>			
Country	<input type="text"/>									<input type="text"/>			
Postal code	<input type="text"/>									<input type="text"/>			
Telephone (cell)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Telephone (landline)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Telephone (work)	<input type="text"/>	<input type="text"/>	(0)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Email address	<input type="text"/>												

If there are more than two investors please copy and complete this section.

**SECOND HOLDER: Self Certification – for FATCA and CRS**

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. 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 with relevant tax authorities. This Agreement is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this section of the Agreement 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 to the OECD CRS Information Portal at <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

**Please complete sections A below:****Section A:**

I certify that I am a US Citizen and/or resident in the US for tax purposes (please tick) ☐

My US Tax Identification Number (TIN) is: | OR |  | | | | | | | | | | | |
| I certify that I am NOT a US Citizen or resident in the US for tax purposes (please tick) | ☐ | | | | | | | | | | | |

Please complete B below:

**Section B: CRS Declaration of Tax Residency (please note you may choose 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.

**DECLARATION AND UNDERTAKINGS: SECOND HOLDER**

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

I acknowledge that the information contained in this Agreement and the information regarding the Account Holder may be reported to the tax authorities of the country in which this account is 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 Companies 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.

Signature

Date

D

D

M

M

Y

Y

Y

Y

Please ensure you also sign at Section 14.

### 3. Investment details

Total amount to be invested: Currency

Total investment amount

#### Nedgroup Investments Funds Plc

Fund	Currency	Class	Investment amount (USD,GBP, Euro, CHF)	OR % allocation
Global Equity Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Flexible Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Cautious Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Property Fund Acc	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Property Fund Dist	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Core Global Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Contrarian Value Equity Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Emerging Markets Equity Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Global Behavioural Fund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
<b>Total investment amount</b>			<input type="text"/>	<input type="text"/> %

Nedgroup Investments International client money routing details for subscriptions

#### International Best of Breed Funds

■ Global Equity

■ Global Flexible

■ Global Cautious

■ Global Property

■ Core Global

■ Contrarian Value Equity

■ Global Behavioural

■ Global Emerging Markets Equity

#### US Dollars

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments Funds Plc  
**USD account number:** 14068645  
**USD IBAN:** GB95CITI18500814068645  
**Correspondent:** Citibank N.A.; New York,  
CITIUS33

#### Swiss Francs

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments Funds Plc  
**CHF IBAN:** GB80CITI18500818717737  
**Correspondent:** SIX Interbank Clearing Ltd; Zurich,  
TKZHCHZZ

#### Sterling

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments Funds Plc  
**Sort Code:** 18-50-08  
**GBP account number:** 17890168  
**GBP IBAN:** GB08CITI18500817890168

#### Canadian Dollars

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments Funds Plc  
**CAD IBAN:** GB61CITI18500814306228  
**Correspondent:** Toronto Dominion Bank, Toronto,  
TDOMCATTOR

#### Euros

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments Funds Plc  
**EUR IBAN:** GB58CITI18500818351570  
**Correspondent:** Citibank Europe Plc; Dublin,  
CITIE2X

Total amount to be invested: Currency

Total investment amount

### Nedgroup Investments MultiFunds Plc

Fund	Currency	Class	Investment amount (USD,GBP)	OR % allocation
Growth MultiFund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Balanced MultiFund	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Income MultiFund Acc	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Income MultiFund Dist	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> %
Total investment amount			<input type="text"/>	<input type="text"/> %

Nedgroup Investments International client money routing details for subscriptions

#### International MultiFunds

■ Growth MultiFund

■ Balanced MultiFund

■ Income MultiFund

#### US Dollars

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments MultiFunds Plc  
**USD account number:** 12929066  
**USD IBAN:** GB37CIT118500812929066  
**Correspondent:** Citibank N.A.; New York, CITIUS33

#### Sterling

**Bank name and address:** Citibank N.A., 25 Canada Square,  
London  
**SWIFT Code / BIC:** CITIGB2L  
**Account name:** Nedgroup Investments MultiFunds Plc  
**Sort Code:** 18-50-08  
**GBP account number:** 12929074  
**GBP IBAN:** GB15CIT118500812929074

Shares will be placed on acceptance of this application by the Investment Manager and Distributor or Administrator. The price will be determined at the earliest valuation point following acceptance of this application in accordance with the Companies' notice period for subscriptions. Please note that for additional investments, the Investment Manager and Distributor or Administrator will assume, unless advised in writing to the contrary, that the investment is to be split as per the above allocation.

#### 4. To be completed by the Financial Planner

Did you meet the client face to face for this Application? Yes ☐ No ☐ If **Yes**, please state your details below.

Name	<input type="text"/>
Company Name and your position	<input type="text"/>
	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Name of Regulator	<input type="text"/>

Did you obtain the Due Diligence **directly** from the client? Yes ☐ No ☐ If **Yes**, please state your details below (If different from above).

Name	<input type="text"/>
Company Name and your position	<input type="text"/>
	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Name of Regulator	<input type="text"/>

Did you obtain the Due Diligence from a **third party**? Yes ☐ No ☐ If **Yes**, please state your details below

Name of third party	<input type="text"/>
Company Name and your position	<input type="text"/>
	<input type="text"/>
Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Name of Regulator	<input type="text"/>

Did the third party meet the client face to face? Yes ☐ No ☐ N/A ☐

How many third parties were involved?

(If more than one, please duplicate this section of the Application Form and complete the required information for them)

Name and address or stamp of Financial Planner	<input type="text"/>	Financial Planner Code (if applicable)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Nedgroup Investments Account Manager:	<input type="text"/>										

## 5. Source of funds

**Investment amount to be transferred from:**

Bank/Company Name

Country in which bank is located

Name of account holder  
(as registered with the bank)

Account number / IBAN

## 6. Source of wealth

Where have these funds come from (originally) in order for you to invest? If Savings, Savings from what? If inheritance, what is your connection to the deceased? If Sale of property, whose property?

<input type="checkbox"/>	Savings	Details	
<input type="checkbox"/>	Inheritance	Details	
<input type="checkbox"/>	Sale of property	Details	
<input type="checkbox"/>	Other	Details	

Evidence to support the above information may be requested to complete the Application Process.

## 7. Nature and purpose of investment

In order to achieve the investment objective of the Funds, investment in the companies should be made for the medium to long term. Please provide details of your expectations of the investment in the following respects:

Purpose of investment	
Expected term of investment	
Expected volume and value of activity*	

\* For example, single investment of £10 000 or quarterly redemptions of £1000.



## 8. Nominated bank account in the event of a redemption

You are required to nominate a bank account to which the proceeds of redemption will be paid. Please provide your full bank details in the event of a redemption share request.

### Beneficiary bank

Beneficiary bank name	<input type="text"/>
Beneficiary bank address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Postal code	<input type="text"/>
SWIFT code/sort code/routing number	<input type="text"/>
Beneficiary account name	<input type="text"/>
Beneficiary account number / IBAN	<input type="text"/>
	<input type="text"/>

The Investment Manager or Administrator will remit redemption proceeds to the above mentioned account unless advised otherwise.

## 9. Financial advisor fees

### Upfront fee

Please indicate the Preliminary Financial Planning fee percentage to be applied. \*(100% of the Preliminary Financial Planning fee will be paid to the Financial Planner, none is retained by Nedgroup Investments).

% Preliminary Financial Planning fee charged to investor. \*Where this is not completed, no Preliminary Financial Planning fee will be deducted.

### Sale of shares

Under agreement with my/our Financial Adviser please be advised that I/we wish to redeem share(s) from my/our investment to pay an on-going Financial Adviser Fee as follows:

Please tick here if applies to all holdings ☐

Fund Name	Fund Currency	Equivalent annual fee %
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Frequency of payment?  Quarterly  Half-yearly  Annually Does VAT apply to these fees?  If so percentage?  %

Fees will be calculated on a daily accrual basis; shares will be redeemed to the value of fees accrued in the period in arrears. Dealing will take place in accordance with the notice period and settlement terms of the fund(s) in which I/we am/are invested. Deals will be processed with reference to the number of shares held at the time of the calculation until cancelled in writing by me/us.

Where applicable, I hereby authorise the Transfer Agent to pay the proceeds of my redemption to the Nedgroup Investments Client Account from where Nedgroup Investments will transfer the proceeds in accordance with my payment instructions.

## 10. Dividend payments

If you have chosen the distributing class of the Income MultiFund please specify where you would like dividend payments to be made. If you require payment to be made to the account specified in section 8, **please tick here** ☐ **If not, please complete the details below.**

## Beneficiary bank

Beneficiary bank name	
-----------------------	--

Beneficiary bank address	
--------------------------	--

Postal code [illegible]

Beneficiary account name	
--------------------------	--

Beneficiary account number / IBAN

The Investment Manager or Administrator will remit redemption proceeds to the above mentioned account unless advised otherwise.

## 11. Declarations and confirmations

Unless otherwise provided for herein, all defined terms shall have the same meaning as in the Prospectus for the Company/ies (the "Prospectus") current at the date of this Agreement.

The undersigned hereby certifies as follows in connection with this Subscription Agreement and any subsequent Agreement:

### 1. General Agreement

- 1.1 I/We hereby confirm that prior to completing this Application Form I/we have received and considered a copy of the relevant KIID, the current Prospectus, the Fund(s) Supplement(s), and the most recently published annual and/or semi-annual report of the Company/ies (where applicable), and 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 the provisions of the Company/ies' Constitution from time to time in force.
- 1.2 I/We hereby undertake to observe and be bound by the Prospectus and the provisions of the Constitution (as amended from time to time) of the Company/ies and apply to be entered in the register of shareholders of the Company/ies as the holder/ holders of the Shares issued in relation to this Agreement.
- 1.3 I/We hereby indemnify the Company/ies, the Manager, the Investment Manager and Distributor, the Depositary, the Administrator (the Service Providers) and agree to keep each of them indemnified against any loss accruing as a result of any failure to process this Agreement, if the information required by any of them has not been provided by me/us.
- 1.4 I/We hereby acknowledge that /we are aware of the Total Expense Ratio (TER) / On-going Charges of the Company/ies as disclosed in the most recent Fund Fact Sheets.
- 1.5 I/We hereby irrevocably apply for the shares set out above at a price determined in accordance with the current Prospectus.
- 1.6 I/We declare that I am/we are over 18 years of age.
- 1.7 I/We hereby acknowledge that any information connected to the provision of services to me/us may be held, stored and retained in any medium, be it electronic or paper based, that the Company/ies and the Service Providers will separately provide adequate security to that information.
- 1.8 I/We hereby acknowledge that in the event that subscription and redemption monies are transacted through a general client money bank account, any interest earned on monies held in this account will be retained for the benefit of the Investment Manager and Distributor.

### 2. Application and Identity

- 2.1 I/We hereby acknowledge that the Company/ies and the Service Providers reserve the right to seek evidence of identity to comply with applicable anti-money laundering regulations. In the case of delay or failure to provide satisfactory information, the Company/ies and the Service Providers may take such action as they see fit and be held harmless and indemnified against any loss arising as a result of a failure to process this Agreement if such information has been required by the parties referred to and has not been provided by me/us.
- 2.2 I/We undertake that if as Investor(s) I/we are acting as agent or nominee in connection with this investment: for a senior foreign political figure<sup>1</sup>, or any immediate family member<sup>2</sup> or close associate<sup>3</sup> of a senior foreign political figure as such terms are defined below we will notify the Company/ies and provide details of the person for whom I/we are acting as agent or nominee.
  - a) A "senior foreign political figure" is defined as a senior official in the executive, legislative, administrative, military or judicial branches of a government (whether elected or not), a senior official of a major political party, or a senior executive of a government-owned corporation. In addition, a "senior foreign political figure" includes any corporation, business or other entity that has been formed by, or for the benefit of, a senior foreign political figure
  - b) "Immediate family" of a senior foreign political figure typically includes the figure's parents, siblings, spouse, children and in-laws.
  - c) A "close associate" of a senior foreign political figure is a person who is widely and publicly known to maintain an unusually close relationship with the senior foreign political figure and includes a person who is in a position to conduct substantial financial transactions on behalf of the senior political figure.

### 3. Tax status and residence

- 3.1 I/We acknowledge that I/we have sole responsibility for the management of our tax and legal affairs including making any applicable filings and payments and for complying with any applicable laws and regulations.

I/We acknowledge that the Company/ies and the Service Providers may be required to pass on information about me/us to tax authorities or deduct withholding taxes from any interest, dividend or redemption payment I/we may be entitled to.

I/We hereby undertake to inform the Company/ies of any changes to my/our country of residence, including tax residency, nationality or any other aspect of my/our personal details which may affect my/our tax status within 30 days of any such change.

- 3.2 I/We declare that:
  - a) the subscription for Shares by me/us as set out in this Agreement does not violate any laws or regulations in the country/territory in which I am/we are domiciled;
  - b) by opening this account and signing below, the account owner represents and warrants that I am/we are not a U.S. person for purposes of U.S. Federal income and that I am/we are not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If my/our tax status changes and I/we become a U.S. citizen or a resident, I/we will notify the Company/ies within 30 days.

I/We acknowledge that the Company/ies reserves the right to impose restrictions on the holding or transfer of shares including, at the discretion of the Directors, their mandatory redemption.

- 3.3 I/We do not intend selling or transferring any Shares which I/we may subscribe for, to any person who is a US Person. I/We agree to:
- a) provide the declaration and warranties contained herein to the Company/ies and at such time as the Company/ies may request provide such certificates, documents or other evidence as the Company/ies may reasonably require to substantiate such representations,
  - b) notify the Company/ies immediately if I/we become aware that any of the declarations and warranties contained herein is/are no longer accurate and complete in all respects.
- I/We acknowledge that the Company/ies reserves the right to impose restrictions on the holding or transfer of shares including, at the discretion of the Directors, their mandatory redemption.

#### **4. On-going relationship**

- 4.1 I/We hereby undertake to advise the Company/ies in writing of any changes to my/our details contained in Section 1.
- 4.2 I/We hereby authorise the Manager, the Investment Manager and Distributor and the Administrator to accept and execute any instructions, including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this Agreement relates, given by me/us in writing, by post or facsimile, or by other electronic means (including e-mail, FTP upload, secure internet based messaging or other similar means) for processing. I/We hereby agree to indemnify each of the Company/ies, the Manager, the Investment Manager and Distributor and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by me/us, i.e. facsimile instructions and other electronic means. The Company/ies, the Manager, the Investment Manager and Distributor 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 properly by authorised persons.
- 4.3 I/We hereby acknowledge and agree that subscription monies received in respect of a Fund in advance of shares being issued on the relevant Dealing Day will be held in the umbrella cash subscriptions and redemptions account in the name of the Company and will be treated as an asset of the relevant Fund. I/We further acknowledge and agree that the Applicant will be an unsecured creditor of the relevant Fund with respect to the amount held by the Company/ies until Shares are issued on the Dealing Day and, as such, will not benefit from any appreciation in the Net Asset Value of the relevant Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. I/We further acknowledge and agree that such amounts will constitute a debt due to the Applicant from the relevant Fund and will not be held on trust for the Applicant, pending the issue of shares on the relevant Dealing Day.
- 4.4 In the event of a redemption of shares I/we hereby authorise the Administrator to pay the proceeds of the redemption to the Nedgroup Investments Client Account from where the Investment Manager and Distributor will transfer the proceeds in accordance with my payment instructions.
- 4.5 I/We hereby acknowledge that redemption proceeds will not be released until such time as the Investment Manager or the Administrator has received the original subscription documentation, all anti-money laundering requirements have been met, satisfactory supporting documentary evidence has been provided and any other details that may be required have been provided.
- 4.6 I/We acknowledge and agree that payment of redemption proceeds in respect of a particular Fund is subject to receipt by the Investment Manager and Distributor and the Administrator of original subscription documents and compliance with all anti-money laundering procedures and that notwithstanding this, as a redeeming Shareholder, I/we will cease to be a Shareholder, with regard to the redeemed Shares, and will be unsecured creditors of the particular Fund, from the relevant Dealing Day. I/We further acknowledge that pending redemptions, including blocked redemptions, will, pending payment to the relevant Shareholder, be held in the umbrella cash subscriptions and redemptions account (Umbrella Cash Subscriptions and Redemptions Account) in the name of the Company/ies. I/we acknowledge and agree that such amounts will constitute a debt due to me/us from the relevant Fund, as and from the relevant Dealing Day, and will not be held on trust for me/us pending payment of the redemption proceeds.
- 4.7 I/We note that all/part of fees and expenses may be charged to the capital of the Company/ies. This will have the effect of lowering the capital value of the investment.

#### **5. Information and reporting**

- 5.1 Electronic delivery of fund documentation and reports  
I/We hereby consent to provision of contract notes, statements and other reports, by electronic transmission and to receive by electronic delivery Company/ies, Fund and Shareholder documentation and information, including but not limited to, the Prospectus, key investor information documents (KIID), notices, the annual and semi-annual report of the Company/ies, circulars and any documentation or information relating to the Company/ies and the Fund[s], including information which may be issued from time to time by the Investment Manager and Distributor and the Administrator in respect of my/our holdings in the Fund(s). Electronic delivery includes e-mail delivery to the e-mail address set out herein or as otherwise agreed with the Investment Manager and Distributor and the Administrator from time to time and/or electronically making available such documentation or information on [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com) or such other web-site address as may be notified to me/us from time to time.
- 5.2 I/We understand that the Prospectus and KIID may be provided by way of electronic delivery and that a paper copy of the Prospectus and/or KIID will be provided free of charge on request.

I/We confirm that my/our preference is to receive the Prospectus and KIID by way of electronic delivery.

I/We acknowledge that updated versions of the Prospectus and KIID will be made available at [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com) or such other web-site address as may be notified to the Applicant from time to time.

I/We acknowledge that where the Company/ies are required to provide the relevant KIID or KIIDs prior to each subsequent subscription for or exchange of Shares in the relevant Class, I/we hereby agree that for each subsequent application for subscriptions and/or exchange of Shares in any Class, the KIID will be made available to me/us by way of electronic delivery, including via the website, unless a paper copy is requested.

#### **6. Data Protection & Privacy**

For the purposes of Data Protection and Privacy, the relationship between the Investment Manager and Distributor and the Companies is considered to be that of Joint Data Controllers within the meaning of data protection legislation and each party will hold all personal data in accordance with data protection legislation.

**I/We acknowledge that** the Joint Data Controllers:

- 6.1 will collect my/our data in various ways, principally:
- from information I/we provided before becoming a client;
  - on completion of the client application forms;
  - from third parties and publicly available sources;
  - from third party intermediaries, introducers, brokers, agents and representatives acting on my/our behalf; and
  - in other interactions I/we have as a client.
- 6.2 and its delegates or service providers including, but not limited to the Administrator and/or its respective delegates and agents may process my/our personal data:
- to operate the Funds, including managing and administering my/our holdings in the relevant Fund on an on-going basis.
  - to comply with all relevant legal, tax or regulatory obligations including laundering and counter-terrorism and tax legislation and fraud prevention in Isle of Man and Ireland.
  - in order to carry out statistical analysis and to perform financial and/or regulatory reporting.
- 6.3 will hold some or all of the following types of Personal Data in relation to me/us;
- Biographical and contact information
  - Identification and due diligence information
  - Financial and Wealth related information
- 6.4 may share my/our information with other Nedbank Group companies and other third parties including the Company/ies and the Service Providers, my/our advisers, due diligence screening systems, regulatory bodies, taxation authorities, auditors and mailing solution providers.
- 6.5 may transfer and store my/our data to countries outside the European Economic Area, including some that may not have laws that provide the same level of protection for personal information. Where this is the case, additional measures will be implemented to ensure adequate protection of the personal data.
- 6.6 will only retain my/our personal data for as long as it is needed, given the purpose for which it was collected, or as required by law and any other statutory obligations, including anti-money laundering, counter-terrorism, tax legislation. My/our personal data may be retained for a maximum of 6 years from the end of the relationship; however some of the data will be retained for less than this.
- 6.7 is obliged to afford me/us certain rights relating to my/our personal data. This includes requesting details of the personal data held relating to me/us, asking incorrect or incomplete data to be amended, objecting to/or restricting the processing of my/our personal data, and making a complaint.

**I/We acknowledge that** the full provisions of Data Protection and Privacy are set out the Data Privacy Notice and can be viewed or download at [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com).

## **7. Governance**

If you wish to make a complaint, full details of the complaints procedure can be found on the website [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com)

## **8. Your declarations**

- 8.1 I/We warrant that I am/we are duly authorised to sign this Agreement and to subscribe for or redeem the Shares in the Company/ies and that by virtue of my/our subscribing for, holding or redeeming Shares in the Company/ies, I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Company/ies and the Service Providers and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.
- 8.2 I/We warrant that the particulars provided by me/us are true and complete and hereby indemnify the Company/ies, against losses or damage suffered in reliance thereon.

## **12. Notes**

1. The Agreement may be completed by a duly authorised agent on behalf of the applicant(s). Such agent represents and warrants that he/she is duly authorised to sign this form and thereafter redeem shares on behalf of the applicant(s). Such agent submits the Power of Attorney or other authority under which he/she acts with the completed application and identification documents for both the agent and all applicants.
2. No share certificate will be issued; ownership is evidenced by the Company's/ies register of shareholders as maintained by the Administrator.
3. Fractional shares will be issued to four decimal places.
4. If more than one applicant signs, then such signatories will be deemed to be joint applicants and joint holders. Applicants should bear in mind that all joint signatories will be required to sign subsequent instructions unless an alternative instruction is given under the signing mandate. In the event of the death of any signatory, the Company/ies will accept the surviving holder(s) signature(s) for any instruction pertaining to the subscription for new shares or the redemption of shares or the switching of funds.
5. All bank charges incurred in the transfer of funds will be for the account of the applicant(s).

### 13. Declaration of residence outside Ireland (please tick the appropriate box)

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.

☐ a) Declaration on own behalf

I/We declare that we are applying for Shares on our own behalf/on behalf of a company and that I/we/the company is/are entitled to the Shares in respect of which this declaration is made and that I/we/the company is/are not currently resident or ordinarily resident in Ireland and should I/we/the company become resident we will so inform you in writing accordingly.

OR

☐ b) Declaration as intermediary

I/We declare that I am/we are applying for Shares on behalf of a person(s) who will be beneficially entitled to the Shares and who to the best of my/our knowledge and belief, is/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 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 hold Shares becomes resident or ordinarily resident in Ireland.

#### Important Notes for Making this Declaration and then Signing Below

Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. To be valid, the Agreement (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 company secretary or other authorised officers. If the Agreement (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.

Applicants who are Exempt Irish Investors should contact the Administrator for the alternative declarations available for Exempt Irish Investors.

### 14. Agreement to terms and signing mandate

I/We hereby acknowledge and agree to the terms set out in the Agreement. Signatories required to authorise transactions over joint holdings.

☐ Any one may sign solely ☐ All to sign jointly Other (please specify)

Where there is more than one signatory, unless indicated to the contrary above, all signatories will be required to sign subsequent instructions.

Name (first holder)

Signature  Date

Name (second holder)

Signature  Date

Nedgroup Investments MultiFunds and Nedgroup Investments Funds Plc (the Companies) are authorised in Ireland and regulated by the Central Bank of Ireland as an undertaking for collective investment in transferrable securities pursuant to the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011 (S.I. No 352 of 2011) as amended from time-to-time. The Companies are managed by Carne Global Fund Managers (Ireland) Limited (the Manager). The Manager is authorised in Ireland and regulated by the Central Bank of Ireland.

This document is not intended for distribution to any person or entity who is a citizen or resident of any country or other jurisdiction where such distribution, publication, or use would be contrary to law or regulation.

Nedgroup Investments Advisors (UK) Limited (reg no 2627187) is authorised and regulated by the Financial Conduct Authority.

The Companies and certain of its sub-funds are recognised in accordance with Section 264 of the Financial Services and Markets Act 2000. UK investors should read the Appendix for UK Investors in conjunction with the Fund's Prospectus which are available from the Investment Manager or Administrator.

www.nedgroupinvestments.com. The Companies have been recognised under paragraph 1 of Schedule 4 to the Collective Investment Schemes Act 2008 of the Isle of Man. Isle of Man investors are not protected by statutory compensation arrangements in respect of the Companies.

Nedgroup Investments (IOM) Limited (Reg no 57917C) is licensed by the Isle of Man Financial Services Authority.



# Checklist



Please check you have provided the following documentation.

These requirements are applicable where an investor intends to invest in their sole name, or where two or more individuals (up to a maximum of four individuals) intend to make a joint investment.

- ☐ Fully completed and signed Client Application Form
- ☐ Verification of identity for each applicant. Acceptable documents includes certified copies of the following:
  - A current and valid "full" passport bearing your signature
  - A national identity document bearing your signature
  - A current full driving licence bearing your signature and photo

**If a document does not have a copy of your signature, ensure that the certified copy document is signed by the holder(s).**

- ☐ One form of address verification confirming the **physical residential address** for each applicant must be provided. Acceptable documents includes:
  - Original or certified copy of utility bill
  - Original or certified copy of bank/credit card statement
  - Written confirmation from approved intermediary / reputable financial institution

**Documents supplied must be less than six months old**

Acceptable wording for certifications is as follows:

#### **Certification of identity documents**

The certification must include the following:

"I certify that this is a true copy of the original document and that the photo is a true likeness of the individual"

#### **Certification of address documents**

"I certify that this is a true copy of the original document"

#### **Certified copies**

Please note that certification will only be accepted if performed by a suitable person, for example a Lawyer, Accountant, a Commissioner of Oaths or a Director / Manager of an authorised credit institution.

The person who certifies the document must clearly print his/her name, state his capacity (ie. Accountant / Director), provide his/her contact details, sign and date the document.

**If you have any questions when completing this form please contact the International Client and Broker Services Team:**

Tel: +44 (0) 1624 645150  
Tel: 0800 999 160 (toll-free from South Africa)  
Fax: +353 1 622 3557  
Email: [helpdesk@nedgroupinvestments.com](mailto:helpdesk@nedgroupinvestments.com)

**Please send a scanned copy of your completed application form, ID and address verification documents to [helpdesk@nedgroupinvestments.com](mailto:helpdesk@nedgroupinvestments.com). We will acknowledge receipt. Once the documents have been received we will ask you to send us the originals.**