

# Nedgroup Investments International

## Trust application - Individual Trustee



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. Trust details

Name of trust	<input type="text"/>
Trust number (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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Date of establishment	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Trust country of establishment	<input type="text"/>
Nature of trust	<input type="text"/>
Trustee registration 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"/> <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"/>

#### CORRESPONDENT DETAILS

Contact name	<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"/> <input type="text"/> <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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Fax	<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"/> <input type="text"/> <input type="text"/> <input type="text"/>
Contact person email address	<input type="text"/>
Contact person address	<input type="text"/> <input type="text"/> <input type="text"/>
Postal code	<input type="text"/>

**ENTITY SELF-CERTIFICATION**

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.

**Section A:**

The Entity is a Specified US Person (please tick)

My US Tax Identification Number (TIN) is:

OR

The Entity is not a Specified US Person (please tick)  (please also complete sections B, C and D)

OR

The Entity is a US Person but not a specified US Person  (please also complete sections B, C and D)

**ENTITY'S FATCA CLASSIFICATION**

**Section B: Financial Institutions**

If the Entity is a Financial Institution please tick one the categories in the table below and provide the Entity's GIIN

1.	Irish Financial Institution or a Partner Jurisdiction Financial Institution	
2.	Registered Deemed Compliant Foreign Financial Institution	
3.	Participating Foreign Financial Institution	

GIIN (Global Intermediary Identification Number).

If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the following as the reason:

1.	Partner Jurisdiction Financial Institution and has not yet obtained a GIIN	
2.	The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide a Sponsor's name and GIIN Name: _____ GIIN: _____	
3.	Exempt Beneficial Owner	
4.	Certified Deemed Compliant Foreign Financial Institution (including Deemed Compliant Financial Institution under Annex II of the Agreement)	
5.	Non-Participating Foreign Financial Institution	
6.	Excepted Foreign Financial Institution	

**II: Non-Financial Institutions**

If the Entity is not a Financial Institution, please confirm the Entity's FATCA status below:

i) The Entity is an Active Non-Financial Foreign Entity (please tick)

or

ii) The Entity is a Passive Non-Financial Foreign Entity (please tick)

If the Entity is a Passive Non-Financial Foreign Entity, please complete a separate Individual Self Certification Form in respect of any Controlling Persons

or

iii) The Entity is an Excepted Non-Financial Foreign Entity (please tick)



**Section C: 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 tax identification numbers ("TIN")). Please see the CRS Portal for more information on Tax Residency.

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 principle office is located.

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 D: 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>

**i) Financial Institutions under CRS:**

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

I.	<i>Financial Institution under CRS (other than (II) below)</i>	
II.	<i>An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (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**)</i>	
	<i>Name:</i>	

**ii) Non Financial Institutions under CRS:**

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

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

**\*\*Controlling Person:**

**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 more 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>

**DECLARATION AND UNDERTAKINGS:**

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.

\* Please sign at the top of the next page.

Name (Authorised signatory)	<input type="text"/>						
Signature	<input type="text"/>						
Capacity	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name (Authorised signatory)	<input type="text"/>						
Signature	<input type="text"/>						
Capacity	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

### 3. Trustee details

#### FIRST TRUSTEE

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"/>				
Residential address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
Postal code	<input type="text"/>				
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	Date of birth	<input type="text"/>	<input type="text"/>
Nationality	<input type="text"/>		Town of birth	<input type="text"/>	
Country of birth	<input type="text"/>				

#### SECOND TRUSTEE

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"/>				
Residential address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>				
Postal code	<input type="text"/>				
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	Date of birth	<input type="text"/>	<input type="text"/>
Nationality	<input type="text"/>		Town of birth	<input type="text"/>	
Country of birth	<input type="text"/>				

Where there are additional directors and/or trustees to be disclosed, please duplicate this page of the form and complete the required information for them.

## 4. Settlor details

Title and surname	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>
First and middle name(s)	<input type="text"/>	
Residential address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Postal code	<input type="text"/>	
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	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"/>
Nationality	<input type="text"/>	Town of birth <input type="text"/>
Country of birth	<input type="text"/>	

## 5. Beneficiaries

### FIRST BENEFICIARY

Title and surname	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>
First and middle name(s)	<input type="text"/>	
Residential address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Postal code	<input type="text"/>	
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	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"/>
Nationality	<input type="text"/>	Town of birth <input type="text"/>
Country of birth	<input type="text"/>	

### SECOND BENEFICIARY

Title and surname	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>
First and middle name(s)	<input type="text"/>	
Residential address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Postal code	<input type="text"/>	
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	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"/>
Nationality	<input type="text"/>	Town of birth <input type="text"/>
Country of birth	<input type="text"/>	

Where there are additional beneficial owners to be disclosed, please duplicate this page of the form and complete the required information for them.

## 6. 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"/> %
<b>Total investment amount</b>			<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.

## 7. 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

Company Name and your position

Address

Name of Regulator

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

Name

Company Name and your position

Address

Name of Regulator

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

Name of third party

Company Name and your position

Address

Name of Regulator

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  Financial Planner Code (if applicable)

Nedgroup Investments Account Manager:









## 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 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 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 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.

## 15. 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).

## 16. 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

## 17. Agreement to terms

Signatories required to authorise transactions.

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 (Authorised signatory)

Signature  Date

Name (Authorised signatory)

Signature  Date

Name (Authorised signatory)

Signature  Date

Name (Authorised signatory)

Signature  Date

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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.

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 and Administrator. [www.nedgroupinvestments.com](http://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

If a corporate trustee is applying for shares, on behalf of the Trust, is regulated in an Approved Jurisdiction<sup>1</sup> there may be some exemptions which can be applied in respect of verification documents that will need to be supplied, see Section B.

**A. Individual Trustees are appointed/the corporate trustee is not regulated in an Approved Jurisdiction, and will provide the following certified documents:**

- Fully completed and signed Trust Application Form
- A certified copy of extracts from the Trust Deed, or other founding document, for example a Will
- Proof of the current trustees (and proper appointment of trustees), for example:
  - Letters of Authority from Master of the High Court (SA), showing the Trust Number and current Trustees
  - Deed of retirement and appointment
- A resolution passed by the Board of Trustees authorising the Application Form to be signed
- An Authorised Signatory List along with details of the signing requirements, and signatures
- Identification verification for each of the following:
  - Settlor
  - Authorised Signatories
  - Directors / Individual Trustees
  - Beneficiaries
- Residential Address verification for each of the following:
  - Settlor
  - Authorised Signatories
  - Directors / Individual Trustees
  - Beneficiaries
- If an unregulated corporate trustee is appointed, a copy of the applicable founding documents of the corporate trustee will be required, for example a Certificate of Incorporation, Partnership Agreement or Trust Deed. (if applicable)
- A duly authorised mandate or resolution of the directors to establish a business relationship

**B. The corporate trustee is regulated in an Approved Jurisdiction, and will provide the following documents:**

- Fully completed and signed Trust Application Form
- Customer Due Diligence Concession Certificate signed by Customer
- Comfort Letter signed by two authorised signatories of the regulated corporate trustee
  - If the corporate trustee is not regulated in its own right, the Comfort Letter<sup>2</sup> must be signed by two authorised signatories of the corporate trustee's regulated parent, and must state that the corporate trustee is a wholly owned subsidiary of the parent company who is regulated, and give the name and jurisdiction in which the parent company is regulated.
- Authorised Signatory List
- Proof of the company's regulated or listed status



## Checklist (continued)

### Notes:

- Verification documentation for the Settlor, Directors, Individual Trustees, Authorised Signatories and Beneficiaries.
- 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

**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.

<sup>1</sup> ‘Approved Jurisdiction’ – Approved Jurisdictions include Guernsey, Isle of Man, Ireland, Jersey, South Africa and the United Kingdom. A full list of Approved, Equivalent Jurisdictions can be found on [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com)

<sup>2</sup> An example of the Comfort Letter is available on [www.nedgroupinvestments.com](http://www.nedgroupinvestments.com)

**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.**