

# Federated Hermes Investment Funds plc

Before you invest, you must read the Key Investor Information Document ("KIID") and if required, contact a professional adviser for advice on whether this is a suitable investment for you. Copies of the Prospectus, any relevant Supplement thereto, KIID, Annual and Interim report & accounts are available free of charge, send requests to the address below or alternatively visit [www.hermes-investment.com](http://www.hermes-investment.com)

**The duly signed Application Form together with full Anti-Money Laundering Documentation and a valid signed FATCA/CRS form are required before the Account can be opened.** The original fully signed Application Form together with an appropriate signature list and supporting bank statement must be returned to the Administrator's address to complete the Account Registration; failure to do so will delay payments.

Subscription instructions and proceeds must **not** be forwarded until the account number confirmation is received. Funds wired in advance of account number confirmation may be returned less bank charges (where applicable) and may take up to five Business Days.

This Application Form, together with the Money Laundering Verification Requirements constitutes your agreement to subscribe for Shares in the Company. You should post, fax or email this Application Form with supporting documentation (if faxed or emailed, the original Application Form and supporting documentation must also be sent) to the Administrator at the address below.

**Incomplete Account Opening Forms (where compulsory information\* and Money Laundering Verification Requirements has not been provided) will be rejected and subscription monies received will be returned.** If an application is rejected, the Administrator at the cost and risk of the Applicant will, subject to any applicable laws, return application monies or the balance thereof, without interest, expenses or compensation by electronic transfer to the account from which it was paid.

Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).

Please complete this form in blue or black ink using BLOCK CAPITALS where possible.

Please note that if this is your first investment in Shares of Federated Hermes Investment Funds plc ("the Company"), the original fully signed Application Form must be returned to the Administrator appointed by the Company, at the address below. The Company is an umbrella fund with segregated liability between sub-funds ("the Funds").

**Post** Northern Trust International Fund Administration Services (Ireland) Limited  
2nd Floor, Block A, City East Plaza  
Towlerton, Ballysimon  
Limerick, Ireland  
V94 X2N9

**Facsimile** (originals must follow by post or courier) +353 1 531 8595

**Email for dealing** (originals must follow by post or courier) [FederatedHermesTAInstructions@ntrs.com](mailto:FederatedHermesTAInstructions@ntrs.com)

**Telephone** +353 1 434 5002

Please tick if you have already faxed or emailed an application for shares to avoid duplication.

## 1. Registration details for corporate and institutional investors (for pension schemes please complete section 2)

If a different address is to be used for correspondence, please tick this box and provide this address separately.

Name(s) for registration (BLOCK CAPITALS)

Full Registered Account Name			
Company Names			
Registered Address			
Registered Address			
Town		Postcode	
Country		Email	
Phone		Fax	
Distributor Identifier Code			

If the Application is in the name of Joint Shareholders, please tick this box and provide the above details for each Joint Shareholder on a separate sheet. All Joint Shareholders must sign the main Application Form as agreement of the declarations contained within.

## 2. Registration details for pension scheme investors only

If a different address is to be used for correspondence, please tick this box and provide this address separately.

Full scheme name			
Registered pension scheme number		Scheme year end date	
Full name of sponsoring company			
Address			
Address			
City/Town		Postcode	
Country			
Primary contact name			
Position			
Email			
Phone		Fax	
Second contact name			
Position			
Email			
Phone		Fax	
Third contact name			
Position			
Email			
Phone		Fax	

If you are a pension, superannuation or similar scheme which provides retirement benefits to employees, where contributions are made by an employer or by way of deduction from an employee's wages and the scheme rules do not permit the assignment of a member's interest under the scheme (other than assignment permitted by Section 44 of the **Welfare Reform and Pensions Act 1999 of the United Kingdom** (disapplication of restrictions on alienation) or Section 91(5)(a) of the Pensions Act 1995 (inalienability of occupational pension), please enclose the following:

- Certified copy of the definitive deed and the most recent amending deed\*.
- Certified authorised signatory list which includes details of position held within the Pension Scheme or sponsoring company.
- A properly authorised mandate of persons completing the form to act on the scheme's behalf.

Please note that if you are a pension fund or superannuation scheme that falls outside of the above definition, please provide the information as required under the relevant Appendices on the Prevention of Money Laundering. Please contact the Company at the details above for further information.

\*Certification by Notary Public/Practising Solicitor, Police Force, Chartered and Certified Public Accountant, Embassy/Consular Staff, Any Regulated Body.

**Scheme advisors**

Company name		
Address		
City/Town	Postcode	
Country		
Primary contact name	Position	
Email		
Phone	Fax	
Second contact name	Position	
Email		
Phone	Fax	

**Scheme administrators/administration contact**

Company name		
Address		
City/Town	Postcode	
Country		
Primary contact name	Position	
Email		
Phone	Fax	
Second contact name	Position	
Email		
Phone	Fax	

### Applicant's bank account details

(This section must be completed)

Important information regarding bank accounts for subscriptions and redemptions

Third party payments are not permitted for redemptions. Please confirm the details of the bank accounts from which and to which payments will be made below.

A copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence the bank account details provided for subscriptions and redemption payments are for a bank account in the registered account name. Accounts in the name of regulated entities are exempt from this requirement

To meet our anti-money laundering and counter terrorist financing obligations under the current legislation, all joint bank account holders will be required to complete identity and verification requirements, even where those joint bank account holders will not be registered holders of shares or units in the Company.

Failure to provide all the bank account information and documentation requested as part of this application may result in a delay in setting up the account and subscribing to the Company.

THIS SECTION MUST BE COMPLETED BY ALL INVESTORS OTHER THAN EQUIVALENTLY REGULATED ENTITIES OPENING AN ACCOUNT IN THEIR OWN NAME OR THE NAME OF THEIR NOMINEE COMPANY, EITHER FOR THEIR OWN BENEFIT OR THE BENEFIT OF ONE OR MORE THIRD PARTIES.

### Redemption Bank Information (and Dividend/Distribution proceeds if applicable)

Redemption/Income payment proceeds can only be paid to a bank account held in the name of the registered shareholder. This account will be used to return any redemption proceeds and also to pay any income (if applicable). The Administrator must be informed in writing, with authorised signatures, if any changes are made to these details. I/We confirm that all future/additional designations to the above account will have their redemption/income proceeds paid to the account details below:

Beneficiary account name	
Beneficiary bank name	
IBAN	
Swift	
Beneficiary account number	
Sort code	
Beneficiary bank address	
BIC	
Correspondent account name*	
Correspondent SWIFT/Sort Code*	
Correspondent account IBAN*	

\*where available

### Income distribution requirements

- Please tick if you would like your distribution reinvested
- Please tick if you would like your distribution paid by Electronic Bank Transfer. (If no box is ticked, your dividend will automatically be reinvested into the Fund.)

Income will be paid to the bank account details supplied above. All remitting charges are deducted from the income payment.

**Important:** Information regarding dealing deadlines and anti-money laundering requirements is provided in the relevant Appendix at the back of this application form.

Should you require your dividend paid to different bank details than your redemption details listed previously, please complete the following section.

**DIVIDEND BANK DETAILS – Only complete if different to redemption bank details**

Beneficiary account name

Beneficiary bank name

IBAN

Swift

Beneficiary account number

Sort code

Beneficiary bank address

BIC

Correspondent account name\*

Correspondent SWIFT/Sort Code\*

Correspondent account IBAN\*

\*where available

### 3. Federated Hermes Investment Funds plc bank details

#### Subscription

All payments must be made by Electronic Bank Transfer for settlement on or before the third business day following the Valuation Point (T+3) for all Funds. Please quote firm name, bank, bank account number and fund name(s) on the Electronic Bank Transfer instruction. Monies should be paid in accordance with the deadlines outlined in the relevant Supplement to the Prospectus. Please remit payment to one of the following bank accounts:

	For USD settlement	For GBP settlement	For EURO settlement
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey
Intermediary Bank	N/A	Barclays Bank plc, London	Barclays Bank plc, Frankfurt
SWIFT	N/A	BARCGB22	BARCDEFF
Beneficiary SWIFT	CNORUS33	CNORUS33	CNORUS33
Fedwire ABA	026001122	N/A	N/A
CHIPS ABA	0112	N/A	N/A
IBAN	N/A	GB64BARC20325353529495	N/A
Acc. no.	N/A	N/A	0210472800
Beneficiary	Federated Hermes Investment Funds public limited company – 179093-20010	Federated Hermes Investment Funds public limited company – 607523-20019	Federated Hermes Investment Funds public limited company – 607531-20019
Reference	Contract Number or Client Account Number and Fund Name		

	For CHF settlement	For SGD settlement	For NOK settlement
Intermediary Bank	Credit Suisse AG, Zurich	DBS Bank Ltd., Singapore	DNB Bank ASA, Oslo
SWIFT	CRESCHZZ80A	DBSSSGSG	DNBANOKK
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey
IBAN	CH100483509849903301 0	N/A	N/A
Beneficiary SWIFT	CNORUS33	CNORUS33	CNORUS33
Acc. no.	N/A	0370035947	70010241705
Beneficiary	Federated Hermes Investment Funds public limited company – 607564-20019	Federated Hermes Investment Funds public limited company – 607556-20019	Federated Hermes Investment Funds public limited company – 607549-20019
Reference	Contract Number or Client Account Number and Fund Name		

	For HKD settlement	For DKK settlement	For SEK settlement
Intermediary Bank	HSBC, Hong Kong	Nordea Bank A/S, Denmark	Nordea Bank AB, Stockholm
SWIFT	HSBCHKHHHKH	NDEADKKK	NDEASESS
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey
IBAN	N/A	N/A	SE5030000000039527707854
Beneficiary SWIFT	CNORUS33	CNORUS33	CNORUS33
Acc. no.	848160735001	5000021034	N/A
Beneficiary	Federated Hermes Investment Funds public limited company – 638023-20019	Federated Hermes Investment Funds public limited company – 607572-20019	Federated Hermes Investment Funds public limited company – 638031-20019
Reference	Contract Number or Client Account Number and Fund Name		

	For AUD settlement
Intermediary Bank	National Australia Bank, Melbourne
SWIFT	NATAAU33
Beneficiary Bank	The Northern Trust International Banking Corporation, New Jersey
IBAN	N/A
Beneficiary SWIFT	CNORUS33
Acc. no.	1803007471500
Beneficiary	Federated Hermes Investment Funds public limited company – 682112-20019
Reference	Contract Number or Client Account Number and Fund Name

Subscription instructions and proceeds must **not** be forwarded until the account number confirmation is received. Wired funds may be returned less bank charges (where applicable) and may take up to five Business Days.

### 4. Identification form

**Agent Requirements – to be completed by Financial Agents, Professional Advisers, Nominees and Intermediaries if you are applying on behalf of your client.**

As an intermediary, agent, nominee or adviser authorised and regulated in the following Prescribed Countries, please tick the appropriate box:

- European Union    Australia    Canada    Channel Islands    Hong Kong    Iceland    Isle of Man
- Japan    New Zealand    Norway    Singapore    Switzerland    Turkey    US

Acting on behalf of a third party, please sign below. I/we (name and address of agent, intermediary)

	of	
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undertake to verify the identity of all third parties on whose behalf we purchase Shares in the Company. We further undertake to retain for five years, from the date our relationship with the subscriber ends, copies of any documentation obtained by us in so verifying. If/when requested to do so by the Company these will be provided. In addition should our relationship with the subscriber end we confirm that we will provide you with all identification and verification documentation. In signing this document, you also confirm that the identity of the source of funds has also been undertaken. The Company/Administrator reserves the right to request additional documentation if deemed necessary.

Registration number			
Regulatory authority name		Regulatory web address	
Contact name		Email	
Tel		Fax	
Company stamp		Signatory	



## 5. Return of Values (Investment Undertakings) Regulations 2013

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

TIN/PPS Number

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

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

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

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

## 6. Declaration of residence

### Declaration of Residence inside or outside Ireland (own behalf only)

Please tick (i), (ii) or (iii) as appropriate

**(i) Irish residents**

I am/we are an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.

or

**(ii) Exempt Irish residents**

I am/we are an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. **If this box is ticked, please also complete the declaration of exempt Irish residents below.**

or

**(iii) Non-Irish residents**

I am/we are not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. **If this box is ticked, please also complete the declaration of residence outside Ireland below.**

### Declaration of Residence for the beneficial owner inside or outside Ireland (Intermediaries only)

Please tick (i), (ii) or (iii) as appropriate

**(i) Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the units is an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.

or

**(ii) Exempt Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. **If this box is ticked, please also complete the declaration of exempt Irish residents below.**

or

**(iii) Non-Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. **If this box is ticked, please also complete the declaration of residence outside Ireland below.**

Authorised signatory

Authorised signatory

Date

**Declaration of exempt Irish resident entities**

Declaration referred to in Section 739D(6), Taxes Consolidation

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

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the shares/units on behalf of the applicant named below who is entitled to the units in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is:  
(please tick as appropriate)

- |  |  |
|--|--|
| <input type="checkbox"/> a pension scheme;   | <input type="checkbox"/> a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;   |
| <input type="checkbox"/> a company carrying on life business within the meaning of section 706 TCA 1997; | <input type="checkbox"/> a qualifying management company;  |
| <input type="checkbox"/> an investment undertaking;  | <input type="checkbox"/> entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997*<br>(see further requirement for Qualifying Fund Manager below); |
| <input type="checkbox"/> an investment limited partnership;  | <input type="checkbox"/> a PRSA Administrator;   |
| <input type="checkbox"/> a special investment scheme;  | <input type="checkbox"/> a credit union within the meaning of section 2 of the Credit Union Act 1997.  |
| <input type="checkbox"/> a unit trust to which section 731(5)(a) TCA 1997 applies;                       |  |

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

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

**Additional requirements where the declaration is completed by a qualifying fund manager / PRSA Administrator**

- I/we\* also declare that at the time this declaration is made, the units in respect of which this declaration is made
  - are assets of \*an approved retirement fund/an approved minimum retirement fund or a PRSA, and
  - are managed by the Declarant for the individual named below who is beneficially entitled to the units.
- I/we\* undertake that, if the units cease to be assets of \*the approved retirement fund/the approved minimum retirement fund or the PRSA, including a case where the units are transferred to another such fund or account, I/we\* will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

\*Delete as appropriate

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

- I/we\* also declare that I am/we are\* applying for shares/units on behalf of persons who
  - to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the shares/units in respect of which this declaration is made, and
  - is a person referred to in section 739D(6) TCA 1997.
- I/we\* further declare that
  - Unless I/we\* specifically notify you to the contrary at the time of application, all applications for shares/units made by me/us\* from the date of this application will be made on behalf of persons referred to in section 739D TCA 1997, and
  - I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

\*Delete as appropriate

Name of applicant			
Irish tax reference number of applicant		Authorised signatory	
Capacity in which declaration is made		Authorised signatory	
Capacity in which declaration is made		Date	

### Important notes

- 1 This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
- 2 Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the share/units.
- 3 In the case of, (i) an exempt pension scheme, the administrator must sign the declaration; (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration; (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. A copy of the power of attorney should be furnished in support of this declaration.

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

### Declaration as intermediary (please also complete Section 6)

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

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

I/we\* also declare that:

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

### Declaration on own behalf

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

- I am/ we are/ the company is not currently resident or ordinary resident in Ireland, and
- Should I/ we / the company become resident in Ireland I will/ we Will so inform you in writing, accordingly.

\*Delete as appropriate.

### Signatures and date of application

(a minimum of two authorised signatories are required to sign)

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

Name	
Signature	
Date	
Name	
Signature	
Date	
Name	
Signature	
Date	

### Important notes

- 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 Application Form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant in Section 8, above. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the Company Secretary or another authorised officer.
- If the application form (incorporating the declaration required by the Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

## 7. Entity Self-Certification for FATCA and CRS

### Instructions for completion and Data Protection notice.

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 account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the Data Protection Acts, 1988 and 2003 of Ireland. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

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

If any of the information below about the account holder's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly.

Account holders that are Individuals or Controlling Persons should not complete this form and should complete the form entitled "Individual (including Controlling Persons) Self-Certification for FATCA and CRS".

(Mandatory fields are marked with an \*)

### Section 1: Account Holder Identification\*

Account holder Name\*:  (the "Entity")

Country of Incorporation  
or Organisation:

Current (Resident or Registered) Address\*:

Number  Street

City, town, State, Province  
or County

Postal/ZIP Code  Country

Mailing address (if different from above)

Number  Street

City, town, State, Province  
or County

Postal/ZIP Code  Country

### Section 2: FATCA Declaration\*:

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

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

U.S. TIN:

**Or**

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

**Or**

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

Indicate exemption:

- I. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN<sup>∞</sup> Please provide the sponsor's name and sponsor's GIIN:

Sponsor's Name:

Sponsor's GIIN:

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NOTE: This option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.

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

**3.1 Financial Institutions under FATCA**

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

**3.2** Please provide the Entity's Global Intermediary Identification number (GIIN):

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

- I. Irish Financial Institution or a Partner Jurisdiction Financial Institution
- Registered Deemed Compliant Foreign Financial Institution
- Participating Foreign Financial Institution
- II. The Entity is an Exempt Beneficial Owner, Please tick and confirm the category of Exempt Beneficial Owner;
  - I. Government Entity
  - II. International Organisation
  - III. Foreign Central Bank
  - IV. Exempt Retirement Fund
  - V. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.
- III. The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)
- Indicate exemption:
- IV. The Entity is a Non-Participating Foreign Financial Institution
- V. The Entity is an Excepted Foreign Financial Institution
- Indicate exemption:
- VI. The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN

Trustee's Name:

Sponsor's GIIN:

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**3.4. Non-Financial Institutions (Non-Financial Foreign Entity/NFFE) under FATCA:**

If the Entity is not a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the below categories

- I. Active Non-Financial Foreign Entity (NFFE)
- II. Passive Non-Financial Foreign Entity (NFFE) (Please tick the box that applies)
  - I. Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons.
  - II. Passive Non-Financial Foreign Entity with Controlling Persons that are specified U.S Persons. (If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in section 6.1 below and separately complete and include self-certification forms for each of your Controlling Persons)
- III. Excepted Non-Financial Foreign Entity (NFFE)
- IV. Direct Reporting Non-Financial Foreign Entity (NFFE)   
Please provide your GIIN

**Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency (Note that Entities may have more than one country of Tax Residence)\***

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence.

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

NOTE: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) You are tax resident in a Jurisdiction that does not issue a (TIN) Or
- b) You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	∞ If TIN unavailable Select (A, B or C) and check box below

∞ If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

Reason A – The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN if you selected Reason B).

Reason C – No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction).

**Section 5: Entity's CRS Classification\*** (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**5.1 Financial Institutions under CRS:**

If the Entity is a Financial Institution, Resident in either a Participating or Non-Participating CRS Jurisdiction please review and tick one of the below categories that applies and specify the type of Financial Institution below.

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.  
<http://www.revenue.ie/en/business/aeoi/participating-jurisdictions.pdf>

- I. A Reporting Financial Institution resident in a participating CRS jurisdiction
- II. A Financial Institution Resident in a Non-Participating Jurisdiction (Please also tick the box that applies) 
  - An Investment Entity resident 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 in section 6 below and complete a separate individual self-certification forms for each of your Controlling Persons)
  - An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution
  - Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company
- III. Non-Reporting Financial Institution under CRS.
  - Specify the type of Non-Reporting Financial Institution below:
  - Governmental Entity
  - International Organization
  - Central Bank
  - Broad Participation Retirement Fund
  - Narrow Participation Retirement Fund
  - Pension Fund of a Governmental Entity, International Organization, or Central Bank
  - Exempt Collective Investment Vehicle
  - Trust whose trustee reports all required information with respect to all CRS Reportable Accounts
  - Qualified Credit Card Issuer
  - Other Entity defined under the domestic law as low risk of being used to evade tax.
  - Specify the type provided in the domestic law:

**5.2 Non Financial Institution (Non-Financial Foreign Entity/NFE) under CRS:**

If the Entity is a not defined as a Financial Institution under CRS then, please tick one of the below categories confirming if you are an Active or Passive NFE.

- I. Active Non-Financial Entity (NFE) – a corporation the stock of which is regularly traded on an established securities market. Please provide the name if the established securities market on which the corporation is regularly traded:
- II. Active Non-Financial Entity (NFE) – if you are a Related Entity of a regularly traded corporation. 
  - Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:
  - Please provide details of the securities market that the entity is listed on:
- III. Active Non-Financial Entity (NFE) – a Government Entity or Central Bank
- IV. Active Non-Financial Entity (NFE) – an International Organisation
- V. Active Non-Financial Entity (NFE) – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)
- VI. Passive Non-Financial Entity (NFE)- (if this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s)



**Section 6: Controlling Persons**

**NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form. (If required, please contact the Administrator.)**

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

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**Name of All Controlling Person(s) of the Account Holder:**

If you have ticked sections 5.1 VI above, then please complete section 6.1 and 6.2 below:

**6.1 Indicate the name of all Controlling Person(s) of the Account Holder:**

I.	
II.	
III.	

Note: In case of a trust, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary (ies) or class(es) of beneficiary(ies), AND any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.

**6.2 Complete a separate Individual (Controlling Person's) Self-Certification for FATCA and CRS for each Controlling Person listed in Section 6.1. (If required, please contact the Administrator.)**

**Section 7: Declarations and Undertakings\***

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

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

I/We on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature(s)*:	
Print Name(s)*:	
Date: (dd/mm/yyyy)*:	
Capacity in which declaration is made*:	

## 8. Representation and warranties

In signing on page 19:

- 1 We confirm that we are 18 years of age or over.
- 2 We, having received and considered a copy of the current Prospectus, any relevant supplements thereto, current Key Investor Information Documents and the most recent annual and/or semi-annual report of the Company (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Application Form.
- 3 We agree that the issue and allotment to us of the Shares is subject to the provisions of the Prospectus and the relevant supplements thereto, that subscription for Shares will be governed and construed in accordance with Irish law and we confirm that by subscribing for Shares, we are not relying on any information or representation other than such as may be contained in the Prospectus, the relevant Supplements and the most recent annual or semi annual report (if available thereto).
- 4 We agree to notify the Company or the Administrator immediately if we become aware that any of the representations is no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct, including where appropriate, the redemption of our holding in its entirety. We agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach, of any of the representations, warranties or declarations given by us in this Application Form.
- 5 We have such knowledge and experience in business and financial matters or have obtained advice from professional adviser such that we are capable of evaluating the merits, and the risks, of an investment by us in the Company.
- 6 We, if not a natural person, are duly organised, validly existing and in good standing under the laws of the jurisdiction in which we are organised and we have the power and authority to enter into and perform our obligations under this Application Form.
- 7 We are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of our investment. We do not have an overall commitment to investments which are not readily marketable that is disproportionate to our net worth, and our investment in the Shares will not cause such overall commitment to be excessive.
- 8 The Administrator and the Company are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by us in written form or by facsimile, if the instructions are given by us by facsimile we undertake to confirm them in writing immediately.  
  
We hereby agree to indemnify each of the Administrator and the Company (on its own behalf and as agent of the Company) and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon facsimile instructions. The Administrator and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- 9 In respect of PDF (email) dealing, the Administrator and the Company are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares, where the procedures in Appendix 1 have been followed.  
  
We hereby agree to indemnify each of the Administrator and the Company (on its own behalf and as agent of the Company) and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon email instructions. The Administrator and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons. (Full details of the Terms & Conditions in respect of PDF dealing can be found in Appendix 1).
- 10 We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions the Administrator and the Company require all necessary documentation to be received and confirmation of the account being opened issued before the application can be processed. Both the Company and the Administrator (on its own behalf and as agent of the Company) shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been required by the parties referred to and has not been provided by us or has been provided in incomplete form.  
  
We acknowledge that subscription instructions and proceeds must not be forwarded until the account number confirmation is received and wired funds may be returned less bank charges (where applicable) and may take up to five Business Days.
- 11 (In respect of joint applicants only) we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- 12 We consent to personal information obtained in relation to us being handled by the Administrator, the Company, the Custodian or the Investment Manager and their delegates, agents or affiliates in accordance with the Data Protection Acts 1988 to 2003. Information in relation to us will be held, used, disclosed and processed for the purposes of (a) managing and administering our holdings in the Company and any related account on an ongoing basis; (b) for any other specific purposes where we have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal or regulatory obligations including legal obligations under company law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including our financial adviser (where appropriate), regulatory bodies, auditors, technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) For other legitimate business interests of the Company. We hereby acknowledge our right of access to and the right to amend and rectify our personal data, as provided herein. We understand that the Company is a data controller and will hold any personal information provided by us in confidence and in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act 2003. We consent to the recording of telephone calls that we make to and receive from the Administrator, the Company, the Custodian or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. We consent to the Company or the Investment Manager sending information about other investment services to us by letter, telephone or other reasonable means of communication. We understand that we have a right not to receive such information.
- 13 We hereby authorise the Company and the Administrator to retain all documentation provided by us in relation to our investment in the Company for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- 14 Please note bank charges may be deducted, see the Prospectus of the Company and Supplement for the Fund(s) for further details.
- 15 If subscribing for Shares in more than one Fund investors must clearly mark the payment reference accounts for each particular Fund and the sub-account.
- 16 The Base Currency of the Fund and the designated currency of any Shares will be set out in the relevant Supplement to the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant Fund or the designated currency of the relevant Class. At the discretion of the Manager, applications may be accepted in currencies other than the Base Currency. Any applications made in currencies other than the Base Currency of the relevant Fund or the designated currency of the relevant Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be at the cost and risk of the relevant investor.
- 17 Please ensure that you have read the relevant Supplement and the KIID for any Fund(s) in which you wish to invest before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus and relevant Supplement (unless the context otherwise requires).
- 18 All Applicants should sign all the necessary additional declarations. Exempt from tax non-Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations appropriate to them.
- 19 U.S. Persons: We certify that we are not a U.S. Person or a U.S. Taxpayer (as defined below) and are not acquiring Shares on behalf of, or for the benefit of, a U.S. Person or a U.S. Taxpayer nor do we intend selling or transferring any Shares which we may purchase to any person who is a U.S. Person or a U.S. Taxpayer. Any changes to your status as U.S. Person or a U.S. Taxpayer should be notified in writing to the Administrator and the Company.
- 20 Hong Kong Investors. The Funds are only available to professional investors in Hong Kong. I/we confirm that I/we qualify as a "professional investor" as defined in Part I of Schedule 1 to the Securities and Futures Ordinance of Hong Kong and any rules made thereunder. Any changes to our status as a "professional investor" should be notified in writing to the Administrator and the Company.
- 21 We acknowledge that, in the event that subscription monies are not received from us on the due date, the Company may temporarily borrow an amount equal to the subscription for the purpose of investing in the relevant sub-fund. We hereby agree to indemnify the Company and agree to keep it indemnified against any loss, interest or other costs of any nature whatsoever arising to it as a result of the late or non payment of subscription monies due from us and/or any consequent borrowing by the Company. If we fail to reimburse the Company for those charges, the Company and/or Investment Manager will have the right to sell all or part of our holdings of shares in the Fund or any other sub-fund of the Company in order to meet those charges and/or to pursue us for such charges.
- 22 We acknowledge that our Application Form may be rejected if the Company, Administrator or Investment Manager consider, in their sole discretion, that the Application Form is incomplete or invalid or if the anti-money laundering procedures have not been completed in full.

Foreign Account Compliance Act ("FATCA") and OECD Common Reporting Standard ("CRS"):

- 23 I/We shall provide the Company and the Administrator with any additional information which it may reasonably request in connection with tax and/or FATCA or CRS regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Company or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- 24 I/We shall supply the Company and the Administrator with executed copies of those documents attached, or referred to, in the Appendices (for U.S. and Non-U.S. Taxpayers).
- 25 I/We agree to provide to the Company and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax and/or FATCA or CRS regulations/reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company and the Administrator immediately of any such change and further agree to request the redemption of [Shares/Units] in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company.
- 26 In addition to any information required under Tax Information, I/We agree to promptly provide, and periodically update, at any times requested by the Company and the Administrator with any information (or verification thereof) the Company and the Administrator deem necessary to comply with any requirement imposed on the Funds including pursuant to tax and/or FATCA or CRS regulations/reporting requirements (including any imposed by any inter-governmental agreement ("IGA") for FATCA purposes or any legislation in relation to any intergovernmental agreement). This may include such information as is required to evidence the Funds' (or any account holder in the Funds') status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether of its account holders are U.S. person for these purposes.
- 27 In addition to the Tax Information, I/We agree to promptly provide, at any times requested by the Company and the Administrator, any information (or verification thereof) the Company and the Administrator deem necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Company to withdraw from the Fund if necessary to comply with FATCA and the IGA.
- 28 We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Fund, the Company and the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We acknowledge that the Irish tax authorities may exchange this information, and other financial information, with foreign tax authorities, including tax authorities located outside of the European Union. We represent and warrant that we have any requisite consent to disclose any information to you. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and accurate Information.
- 29 /We hereby acknowledge that if I/we fail to provide the any information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.
- 30 I/We hereby acknowledge that if I/we fail to provide the any information and such failure results in the Fund being unable to comply with the IGA, the Company may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
- 31 I/We hereby acknowledge that any notice or document may be served by the Company or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- 32 Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the Key Investor Information Document issued in respect of the Sub-Fund Share Class and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the Key Investor Information Document to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.

## Footnote:

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

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

## Applicant's details and Signature

A copy of the firm's authorised signatory list should be provided to the Administrator with this application form. If the firm assigns varying levels of signing authority to the signatories, please provide details of the authority levels together with the authorised signatory list. I/We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

Full name of signatory and capacity		Full name of signatory and capacity	
Signature		Signature	
Date		Date	
Full name of signatory and capacity		Full name of signatory and capacity	
Signature		Signature	
Date		Date	

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## 9. Privacy Statement – for registered shareholders and applicants for shares

This notice sets out how the Company will process your Personal Data, why the Company uses it (as a controller) and how you may contact the Company in relation to the use of your Personal Data.

The Company will collect and process Personal Data of natural persons who are registered shareholders, applicants for shares, beneficial owners of registered shareholders and applicants for shares, personal representatives, financial advisors, directors, officers, employees, agents, trustees and / or authorised signatories of registered shareholders and applicants for shares (“Individuals”) and other information relating to the dealings of Individuals with the Company and / or its service providers.

The Company, acting as a controller may itself (or through a third party such as Northern Trust International Fund Administration Services (Ireland) Limited (the “Administrator”) acting in its capacity as the Company’s administrator) process your Personal Data or that of your directors, officers, employees and/or beneficial owners. When processing your Personal Data, there may also be times where Hermes Investment Management Limited, the Company’s investment manager (the “Investment Manager”), will act as a controller of your Personal Data, as set out in the section Investment Manager as a Controller.

Personal Data means any information which the Company has or obtains, or which you provide to the Company or its service providers, such as your name, address, email address, date of birth etc, from which you can be directly or indirectly personally identified, and may include information such as identification and account numbers, tax identifiers and residency information, and online identifiers.

Where the Company needs to process Personal Data in connection with a registered shareholder’s contract with the Company or in anticipation of an applicant for shares becoming a registered shareholder, or where the Company has a legal obligation to collect certain Personal Data relating to an Individual (for example, in order to comply with AML obligations), the Company will not be able to deal with the registered shareholder or applicant for shares if the Individual does not provide the necessary Personal Data and other information required by the Company.

In connection with this, please note the following:

### Use of Personal Data and Basis of Processing

The Company will process Personal Data:

- 1 for the purposes of performing the contract with a registered shareholder (either directly or acting on behalf of an institution) or in anticipation of an applicant for shares becoming a registered shareholder, namely:
  - (a) for the purposes of providing services to the registered shareholder, and setting up and administering the applicant’s or registered shareholder’s account(s), as the case may be;
  - (b) for the collection of subscriptions and payment of redemptions, distributions and dividends;
  - (c) to deal with queries or complaints from registered shareholders;
- 2 for compliance with the Company’s legal obligations, including:
  - (a) anti-money laundering and anti-terrorist financing (collectively “AML”) and fraud prevention purposes, including OFAC and PEP screening for these purposes and to comply with UN, EU and other applicable sanctions regimes;
  - (b) compliance with applicable tax and regulatory reporting obligations;
  - (c) where the Company is ordered to disclose information by a court with appropriate jurisdiction;
  - (d) recording of telephone calls and electronic communications in order to comply with applicable law and regulatory obligations;
- 3 where use is for a legitimate purpose of the Company, including:
  - (a) for day-to-day operational and business purposes;
  - (b) to take advice from the Company’s external legal and other advisors;
  - (c) board reporting and management purposes, including quality assurance;
  - (d) in the event of a merger or proposed merger of the Company or any sub-fund of the Company;
- 4 where use or sharing is for a legitimate purpose of another company in the Hermes Group, or of a third party to which the Company provides the Personal Data, including:
  - (a) for day-to-day operational and business purposes;
  - (b) to retain AML and other records of Individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator;
  - (c) investor relationship management;
  - (d) calculation and payment by the recipient of commissions and rebates; and,

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5 where necessary to establish, exercise or defend its legal rights or for the purpose of legal proceedings.

The Company will not disclose any Personal Data to any third party, except as outlined above and / or as follows:

- 1 to its service providers, including the Administrator (Northern Trust, <https://www.northerntrust.com/emea-privacy-notice>) and Investment Manager (Hermes Investment Management Limited, <https://www.hermes-investment.com/ukw/privacy-policy-and-cookies/>), and their affiliates, and other third-party service providers engaged by the Company in order to process the data for the above mentioned purposes and on the understanding that they will keep the Personal Data confidential. These include:
  - i. The Northern Trust Company in the USA for the purposes of IT Service Support, Data Storage and System Access Management and Maintenance; Email Retention and Archiving; Call recording and Monitoring – <https://www.northerntrust.com/privacy-policy/>;
  - ii. Northern Operating Services Private Limited in India and the Northern Operating Services Asia Incorporated in the Philippines for the purposes of supporting activities related to Fund administration including transfer agency, investor servicing, transaction processing, reporting and record keeping – <https://www.northerntrust.com/privacy-policy/>;
  - iii. eGain, located in the USA, for the purposes of supporting investor correspondence – <http://www.egain.com/privacy-policies/>;
  - iv. Victor Buck, located in Luxembourg, for the purposes of supporting investor mailing – <https://www.victorbuckservices.com/disclaimer/>;
  - v. Paragon, located in the UK for the purposes of supporting investor mailing and correspondence – [http://www.paragon-europe.com/en-gb/content/privacy-policy-0](http://www.paragon-europe.com/en-gb/content/privacy-policy-0;);
- 2 to enable the Company to carry out the obligations under the contract with a registered shareholder or in anticipation of an applicant for shares becoming a registered shareholder;
- 3 to anyone providing a service to the Company or acting as the Company's agent (which may include the distributor, the investment manager and companies within their group of companies, the Administrator and its or their sub-contractors), as data processors, for the purposes of providing services to the Company and on the understanding that they will keep the Personal Data confidential;
- 4 where Personal Data needs to be shared with the depository appointed to the Company, in order to enable it to discharge its legal and regulatory obligations;
- 5 in limited circumstances, where the Administrator is subject to a separate legal obligation requiring it to act as controller or joint controller of the Personal Data, including (i) where it is required to use the Personal Data for the discharge of its own AML obligations including the reporting of suspicious transactions to the relevant authorities; (ii) where an Individual has otherwise consented to the Personal Data being shared with the Administrator for specific purposes; or (iii) where, through the use of a web portal or other electronic platform that it has established the Administrator facilitates electronic dealings and access to information by shareholders in the Company, with regard to their investments in the Company or any other investment funds to which the Administrator has been appointed to provide administration services;
- 6 where the registered shareholder or applicant for shares is a client of the Hermes Group, a third party financial advisor or investment manager, or a company within its group of companies, with such company or advisor for the purposes outlined above;
- 7 where the Company needs to share Personal Data with its auditors, and legal and other advisors;
- 8 in the event of a merger or proposed merger, any (or any proposed) transferee of, or successor in title to, the whole or any part of the Company's business, and their respective officers, employees, agents and advisers, to the extent necessary to give effect to such merger; and,
- 9 the disclosure is required by law or regulation, or court or administrative order having force of law, or is required to be made to any of the Company's regulators.

The Company will not otherwise share Personal Data with any third party unless it receives the prior written consent of the relevant Individual to do so.

### **Investment Manager as a Controller**

Your Personal Data will be processed by the Investment Manager acting in the capacity of controller for the purposes of performing the contract with a registered shareholder, or in anticipation of an applicant for shares becoming a registered shareholder, namely to facilitate the calculation and payment of Company Rebates.

All data processed by the Investment Manager stays inside the European Economic Areas ("EEA") and is not shared with any other third parties apart from competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

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## International Transfer of Data

Personal Data may be transferred outside Ireland by the Company or any entity appointed to process Personal Data on behalf of the Company in connection with administering a registered shareholder's account(s) and / or in anticipation of an applicant for shares becoming a registered shareholder, in accordance with an Individual's instructions, where an Individual has explicitly consented, and / or as otherwise required or permitted by law.

The disclosure of Personal Data to the third parties set out above may involve the transfer of data to other jurisdictions outside the EEA. The countries that may process data that are outside the EEA are the USA, India, and the Philippines. These countries may not have the same data protection laws as your jurisdiction and in that case the Fund shall use reasonable efforts to implement contractual protections for the Personal Data.

The Company has authorised the Administrator as its agent to put in place European Commission approved standard contractual clauses (EU Controller to non-EU or EEA processor 2010/87/EU) relevant with the parties to whom Personal Data will be transferred. The Administrator has entered into binding corporate rules with its affiliated entities, in accordance with the applicable data protection laws, in order to transfer Personal Data to certain affiliates located in non-EEA countries and a copy of such binding corporate rules will be available, from the date of approval of the binding corporate rules, in the document entitled "Northern Trust – EEA Data Privacy Standards" which is available at: <https://protect-eu.mimecast.com/s/SngfC4EySBvvOxtOdOEI?domain=northerntrust.com>

## Special Categories Personal Data

The Company does not process any special categories of Personal Data.

## Third Party Providers of Information

The Company may obtain Personal Data relating to Individuals from someone other than that Individual. This may include Personal Data relating to beneficial owners, partners, directors, officers, employees, advisors or other related persons of an investor or of the person providing the Personal Data. The Personal Data may be obtained from a variety of sources, such as financial advisors to investors, employers of Individuals, and / or direct and indirect service providers to the Fund, such as vendors providing AML and sanctions checking databases.

The person providing the information will be asked to warrant that it will only do so in accordance with applicable data protection laws, and that it will ensure that before doing so, the Individuals in question are made aware of the fact that the Company will hold information relating to them and that it may use it for any of the purposes set out in this Privacy Statement, and where necessary that it will obtain consent to the Company's use of the information. The Company may, where required under applicable law, notify those Individuals that they have been provided with their Personal Data and provide a copy of this Privacy Statement to them.

## Data Integrity and Security

The Company, Administrator and Investment Manager maintain the reliability, accuracy, completeness and currency of Personal Data in their databases and to protect the privacy and security of their databases. The security measures in place on our computer systems aim to prevent the loss, misuse or incorrect alteration of the information you provide.

The Company, Administrator and Investment Manager update and test security technology on an ongoing basis. The Administrator and Investment Manager restrict access to your Personal Data to those employees who need to know that information to provide services to you. In addition, the Administrator and Investment Manager train their employees about the importance of confidentiality and maintaining the privacy and security of your information.

The Company, Administrator and Investment Manager encourage you to ensure that your Personal Data is accurate and kept up to date so please update any information you have provided, or write to us at the address listed under the "How to contact the Company" section.

## Retention of Personal Data

The Company is obliged to retain certain information to ensure accuracy, to help maintain quality of service and for legal, regulatory, fraud prevention and legitimate business purposes.

It is obliged by law to retain AML related identification and transaction records for six years from the end of the relevant investor relationship or the date of the transaction respectively.

Other information will be retained for no longer than is necessary for the purpose for which it was obtained by the Company or as required or permitted for legal, regulatory, fraud prevention and legitimate business purposes. In general, the Company (or its service providers on its behalf) will hold this information for a period of seven years, unless it is obliged to hold it for a longer period under law or applicable regulations.

The Company will also retain records of telephone calls and any electronic communications for a period of five years and, where requested by the Central Bank, for a period of up to seven years.

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## Complaints and enquiries by Individuals

The Company, Administrator and Investment Manager try to meet the highest standards when collecting and processing Personal Data. For this reason, the Company, Administrator and Investment Manager take any complaints they receive about this very seriously. The Company, Administrator and Investment Manager encourage people to bring it to their attention if they think that the collection or use of information is unfair, misleading or inappropriate.

You also have the right to correct any inaccuracies in, and in certain circumstances, to request erasure, or restriction on the use, of your Personal Data, and to object to certain uses of your Personal Data, in each case subject to the restrictions set out in applicable data protection laws. Further information on these rights and the circumstances in which they may arise in connection with the Fund, Administrator and Investment Manager's processing of Personal Data can be obtained by writing to the address specified above.

Where the Company is relying on a legitimate purpose of the Company or a third-party recipient of the Personal Data, in order to use and disclose Personal Data, you are entitled to object to such use or disclosure of your Personal Data. If you do so, the Company will cease to use and process the Personal Data for that purpose unless it can show there are compelling legitimate reasons for it to continue or it needs to use the Personal Data for the purposes of legal claims.

In limited circumstances, you may also have the right to data portability in respect of certain of your Personal Data, which means you can request that the Company provides it to you in a structured, commonly used and machine-readable format, or transmit it to your third-party nominee where this is technically feasible.

If you want to make a complaint about the way the Company, Administrator and/or Investment Manager has processed your Personal Data, you can contact us directly or lodge a complaint with a supervisory authority in the EU Member State (i.e., the Data Protection Commission in Ireland) of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of Personal Data relating to you carried out by the Fund or its service providers infringes your rights under applicable data protection laws.

## An Individual's Rights in relation to Personal Data

An Individual may at any time request a copy of his / her Personal Data from the Company. This right can be exercised by writing to the Company at the address specified below.

An Individual also has the right to correct any inaccuracies in, and in certain circumstances, to request erasure, or restriction on the use, of his / her Personal Data, and to object to certain uses of his / her Personal Data, in each case subject to the restrictions set out in applicable data protection laws. Further information on these rights, and the circumstances in which they may arise in connection with the Company's processing of Personal Data can be obtained by writing to the Company at the address specified below.

In any case where the Company is relying on an Individual's consent to process his / her Personal Data (for example, explicit consent for special categories of personal data) that Individual has the right to change his / her mind and withdraw consent by writing to the address specified below.

Where the Company is relying on a legitimate purpose of the Company, a member of Hermes Group of companies or a third-party recipient of the Personal Data, in order to use and disclose Personal Data, an individual is entitled to object to such use of his / her Personal Data, and if he /she does so, the Company will cease to use and process the Personal Data for that purpose unless the Company can show there are compelling legitimate reasons for it to continue or it needs to use the Personal Data for the purposes of legal claims.

In limited circumstances, an Individual may also have the right to data portability in respect of certain of his / her Personal Data, which means he / she can request that the Company provide it to him / her in a structured, commonly used and machine-readable format, or transmit it to his / her third-party nominee where this is technically feasible.

An Individual also has the right to lodge a complaint about the processing of his / her Personal Data by the Company with the Data Protection Commission at

Canal House, Station Road, Portland, Co Laois  
R32 AP23, Ireland. Phone +353 (0761) 104 800 | or 1890 25 22 31  
[info@dataprotection.ie](mailto:info@dataprotection.ie)

## How to contact the Company

If you wish to make a subject access request or complaints relating to Personal Data held about you by the Company, Administrator or Investment Manager, please write to:

The Information Protection Coordinator,  
Hermes Fund Managers Limited,  
150 Cheapside, London EC2V 6ET

or [InfoProtect@hermes-investment.com](mailto:InfoProtect@hermes-investment.com)

Last updated 16 September 2019

## Appendix 1 – Terms & Conditions of Service for instructions issued to the Administrator via email

If you wish to send the Administrator, instructions in respect of the Shares of the Company in portable document format ("PDF") or commonly used equivalent scanned form which is transmitted to the Administrator via email, then the terms as set out below will apply to the Investor's account.

**IT IS IMPORTANT THAT THE INVESTOR READS THESE TERMS AND CONDITIONS OF SERVICE CAREFULLY.** By completing the appropriate documentation (e.g. original subscription forms, additional subscription forms, transfer/switch requests or redemption forms) and instructing the Administrator in respect of the Shares of the Company via email, the Investor will have accepted the following Terms and Conditions of Service.

### A. Procedure for PDF Instructions

- 1 The email address to submit PDF instructions **FederatedHermesTAInstructions@ntrs.com** This address is to be used for sending PDF instructions via email in respect of the shares in the Company and may also be used for the purposes of providing an email copy of this Application Form pending provision of the original copy.
- 2 The Investor shall ensure that the PDF instruction is signed by properly authorised persons, scanned and attached to a blank email which is addressed to **FederatedHermesTAInstructions@ntrs.com**
- 3 Each blank e-mail sent to the email address specified above may only include **one** PDF file attachment. However, the single PDF file attachment may contain multiple instructions in relation to Shares in more than one Fund. A blank e-mail with multiple PDF attachments will be rejected by the Administrator.
- 4 Emails received without the scanned PDF form attached will not be accepted.
- 5 Upon receipt of an email with the scanned PDF instruction, the Administrator will send the Investor a task number by auto-response.
  - (a) The task number acknowledges receipt of the Investor's instruction.
  - (b) The task number is not confirmation of placement of the instruction.
  - (c) The Administrator must be in receipt of the instruction prior to the relevant dealing deadline as set out in the Company's Prospectus. The Administrator will not be responsible for any delays in receipt.
  - (d) If the Investor does not receive a task number by auto response, it is the Investor's responsibility to contact the Administrator by telephone (details confirmed within the application form or dealing form) to confirm that the Administrator has received the Investor's instruction.
- 6 If the Investor sends the Administrator a PDF dealing instruction in respect of the Shares in the Company to a mailbox other than specified above, the Administrator will reject the instruction and/or the deal will not be placed. Notification of rejection may not be given prior to the dealing cut off.
- 7 In cases where the Investor has supplied the Administrator with a "group" email address, the Administrator will have fully discharged its responsibilities where it has sent any communication to this "group" address.
- 8 The Investor should not send a duplicate instruction by alternative means to the Administrator as this could lead to a duplicate e.g deals being placed in error.
- 9 The Investor is not obliged to instruct in this manner.

### B. General Terms and Conditions of Service:

- 1 Email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and the Investor will bear the risks if the Investor wishes to conduct the Investor's dealings using email.
- 2 The Administrator is authorised and instructed to accept and execute any instructions in respect of Shares in the Company given by the Investor in PDF form or by email. The Administrator will rely conclusively upon, and neither the Company nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine.
- 3 Neither the Company nor the Administrator will be responsible or liable for the authenticity of instructions received from the Investor or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.
- 4 Neither the Company nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by the Investor in PDF form or by email, including without limitation, the Investor's use of an incorrect email address, failure of the Investor's transmission, interception, alteration or corruption of the Investor's email transmission, non-receipt of the Investor's electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Company nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.



## Appendix 2 – Dealing information for corporate investors

All application, redemption, transfer requests and instructions in relation to the Shares in the relevant Funds must be received before the times specified in the relevant supplement of the Prospectus for each Fund. Applications, redemptions and transfer requests received after that time will generally be deemed to have been received for the next Dealing Day. The duly signed Application Form together with full Anti-Money Laundering Documentation and a valid signed FATCA/CRS form are required before the Account can be opened. The originally signed Application Form together with an appropriate signature list and supporting bank statement must be returned to the Administrator's address to complete the Account Registration; failure to do so will delay payments.

Subscription instructions and proceeds must not be forwarded until the account number confirmation is received. Funds wired in advance of account number confirmation may be returned less bank charges (where applicable) and may take up to five Business Days.

A copy of the Prospectus and the Key Investor Information Document is available on the Federated Hermes website: [www.hermes-investment.com](http://www.hermes-investment.com) or by contacting the Company Distributor.

Contract notes will normally be issued within 24 hours of the allocation of Shares.

Valuation statements are available monthly.

Agents, Advisers and Intermediaries must complete Section 6.

Prevention of Money Laundering

If you are an existing investor please provide your account number:

### Company/Corporate (other than regulated firms)

If you as applicant (s) or transferee(s) is/are a Company/Corporate, please supply the following documents and tick the box below to indicate that the information is enclosed with the application.

#### Corporate applicants requirement for identification

- Copy of Certificate of Incorporation.
- Memorandum and Articles of Association.
- Authorised Signatory List.
- A copy of an appropriately authorised mandate for the directors to make the investment (unless authorised in the company Memorandum and Articles of Association).
- List of all Directors containing the following information:
  - 1 Names
  - 2 Occupation
  - 3 Residential Address
  - 4 Business Address
  - 5 Date of Birth
  - 6 List of shareholdings controlling more than 25% of the voting rights plus business address

- \*For at least two directors, a copy of a current passport, driver's license or identification card is required and two original or items bearing evidence of your residential address. (e.g. A recent bank statement, credit card statement, public utility bill.
- A copy of the most recent audited accounts.
- (Where applicable) details of all persons who own or control over 25% of the entity's share capital, profit or voting rights or otherwise exercises control over the management of the entity. Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).

If you are a REGULATED FINANCIAL FIRM in a country prescribed as having an anti-money laundering regime equivalent to that in force in Ireland, details of which are set out in Section 6 above (an 'Equivalent Country', the information above is not required, however we will require the following evidence of your regulated status):

- Evidence of firm's name and permanent address.
- Name of regulator.
- Firm's reference number.
- Authorised signatory list.
- Properly authorised mandate of persons completing the form to act on the firm's behalf.

#### Applicant's check list

- Ensure you have read and, where applicable, completed the above declarations in Section 5 and Section 8.
- Enclosed Anti-Money Laundering documentation as detailed in Section 1 and Appendix 2.
- If Intermediary or a Nominee Application, ensure you have completed Sections 6 and 8.
- Completed/enclosed authorised signatory list.
- Enclosed confirmation of signing authority of authorised signatures.
- Enclosed a Properly authorised mandate of persons completing the form to act on the scheme's behalf.
- Completed FATCA and CRS Certification in Section 9.
- Completed Return of Values in Section 10 (Irish Residents only)
- Executed copy of one of the following certification documents required for FATCA purposes (for U.S. and non-U.S. tax payers): W-8BEN, W-8BEN-E, W-8IMY, W-8ECI, W-8EXP, or W-9 or some other acceptable certification.

The Administrator may need to contact you for further information, documentation and/or certification.

## Appendix 3 – Dealing information for institutional investors

All application, redemption, transfer requests and instructions in relation to the Shares in the relevant Funds must be received before the times specified in the relevant supplement of the Prospectus for each Fund. Applications, redemptions and transfer requests received after that time will generally be deemed to have been received for the next Dealing Day. The duly signed Application Form together with full Anti-Money Laundering Documentation and a valid signed FATCA/CRS form are required before the Account can be opened. The originally signed Application Form together with an appropriate signature list and supporting bank statement must be returned to the Administrator's address to complete the Account Registration; failure to do so will delay payments.

Subscription instructions and proceeds must not be forwarded until the account number confirmation is received. Funds wired in advance of account number confirmation may be returned less bank charges (where applicable) and may take up to five Business Days.

A copy of the Prospectus and the Key Investor Information Document is available on the Federated Hermes website: [www.hermes-investment.com](http://www.hermes-investment.com) or by contacting the Company Distributor.

Contract notes will normally be issued within 24 hours of the allocation of Shares.

Valuation statements are available monthly.

Agents, Advisers and Intermediaries must complete Section 6.

Prevention of Money Laundering

If you are an existing investor please provide your account number:

### Institutional Investor

If you as applicant (s) or transferee(s) is/are an Institutional Investor, i.e. non-Government, Public Sector Body, Government Agency, State Owned Firm, please supply the following documents and tick the box below to indicate that the information is enclosed with the application.

#### Applicant's requirement for identification

- Full name of entity.
- Documentary evidence of the nature and status of the entity (e.g. overseas government etc.).
- Documentary evidence of the name of the home state authority.
- Documentary evidence of entity Address.
- Authorised signatory list.
- Properly authorised mandate of persons completing the form to act on behalf of the entity.
- List of all Directors/Governors, containing the following information.

- 1 Names
- 2 Occupation
- 3 Permanent Residential Address
- 4 Business Address if different from entity address
- 5 Date of Birth

- \*For all Directors/ Governors on the authorised signatory list, a copy of a current passport, drivers license or identification card is required and two original or certified items bearing evidence of your residential address. (e.g. A recent bank statement, credit card statement, public utility bill).

If you are a REGULATED FINANCIAL FIRM in a country prescribed as having an anti-money laundering regime equivalent to that in force in Ireland, details of which are set out in Section 6 above (an 'Equivalent Country', the information above is not required, however we will require the following evidence of your regulated status):

- Evidence of firm's name and permanent address.
- Name of regulator.
- Firm's reference number.
- Authorised signatory list.
- Properly authorised mandate of persons completing the form to act on the firm's behalf.

#### Applicant's check list

- Ensure you have read and, where applicable, completed the declarations in Section 5 & 8.
- Enclosed Anti-Money Laundering documentation as detailed in Section 1 and Appendix 2.
- If Intermediary or a Nominee Application, ensure you have completed Sections 6 & 8.
- Completed/enclosed authorised signatory list.
- Enclosed confirmation of signing authority of authorised signatures.
- Enclosed a properly authorised mandate of persons completing the form to act on the scheme's behalf.
- Completed FATCA and CRS Certification in Section 9.
- Executed copy of one of the following certification documents required for FATCA purposes (for U.S. and non-U.S. tax payers): W-8BEN, W-8BEN-E, W-8IMY, W-8ECI, W-8EXP, or W-9 or some other acceptable certification.

The Administrator may need to contact you for further information, documentation and/or certification.

## Appendix 4 – Dealing information for pension scheme investors

All application, redemption, transfer requests and instructions in relation to the Shares in the relevant Funds must be received before the times specified in the relevant supplement of the Prospectus for each Fund. Applications, redemptions and transfer requests received after that time will generally be deemed to have been received for the next Dealing Day. The duly signed Application Form together with full Anti-Money Laundering Documentation and a valid signed FATCA/CRS form are required before the Account can be opened. The originally signed Application Form together with an appropriate signature list and supporting bank statement must be returned to the Administrator's address to complete the Account Registration; failure to do so will delay payments.

Subscription instructions and proceeds must not be forwarded until the account number confirmation is received. Funds wired in advance of account number confirmation may be returned less bank charges (where applicable) and may take up to five Business Days.

A copy of the Prospectus and the Key Investor Information Document is available on the Federated Hermes website: [www.hermes-investment.com](http://www.hermes-investment.com) or by contacting the Company Distributor.

Contract notes will normally be issued within 24 hours of the allocation of Shares.

Valuation statements are available monthly.

Agents, Advisers and Intermediaries must complete Section 6.

Prevention of Money Laundering

If you are an existing investor please provide your account number:

### Company/Corporate (other than regulated firms)

If you as applicant(s) or transferee(s) is/are a Company/Corporate outside of the definition under Section 1, please supply the following additional documents and tick the box below to indicate that the information is enclosed with the application.

#### Corporate applicant's requirement for identification

- Copy of Certificate of Incorporation.
- Memorandum and Articles of Association.
- Authorised Signatory List.
- A copy of an appropriately authorised mandate for the directors to make the investment (unless authorised in the company Memorandum and Articles of Association).
- List of all Directors containing the following information.

1 Names

2 Occupation

3 Residential Address

4 Business Address

5 Date of Birth

6 List of shareholdings controlling more than 10% of the voting rights plus business address

- \*For at least two directors, a copy of a current passport, driver's license or identification card is required and two original or items bearing evidence of your residential address (e.g. a recent bank statement, credit card statement, public utility bill).
- A copy of the most recent audited accounts.

If you are a REGULATED FINANCIAL FIRM in a country prescribed as having an anti-money laundering regime equivalent to that in force in Ireland, details of which are set out in Section 6 above (an 'Equivalent Country'), the information above is not required, however we will require the following evidence of your regulated status:

- Evidence of firm's name and permanent address.
- Name of regulator.
- Firm's reference number.
- Authorised signatory list.
- Properly authorised mandate of persons completing the form to act on the firm's behalf.

#### Applicant's check list

- Ensure you have read and, where applicable, completed the above declarations in Section 5 and Section 8.
- Enclosed Anti-Money Laundering documentation as detailed in Section 2 and Appendix 4.
- If Intermediary or a Nominee Application, ensure you have completed Sections 6 and 8.
- Enclosed copy of a page showing the name of the scheme from the most recent definitive deed.
- Completed/enclosed authorised signatory list.
- Enclosed confirmation of signing authority of authorised signatures.
- Enclosed a properly authorised mandate of persons completing the form to act on the scheme's behalf.
- Completed FATCA and CRS Certification in Section 9.
- Executed copy of one of the following certification documents required for FATCA purposes (for U.S. and non-U.S. tax payers): W-8BEN, W-8BEN-E, W-8IMY, W-8ECI, W-8EXP, or W-9 or some other acceptable certification.

The Administrator may need to contact you for further information, documentation and/or certification.