

GALLOWAY GLOBAL FUND APPLICATION FORM - INSTITUTIONAL INVESTMENT**GALLOWAY GLOBAL FUND**

(the "Company")

C/O

APEX FUND SERVICES S.A.

3, rue Gabriel Lippmann, L-5365 Munsbach,

Grand Duchy of Luxembourg

E-mail: dealinglux@apexgroup.com

Please return the form via email to dealinglux@apexgroup.com and for the first subscription with the original of the Subscription Application Form thereof sent by post with the mention "*emailed or faxed on dd/mm/yy; avoid duplicate*" to be sent by post to the Registrar and Transfer Agent within three (3) following Business Days, together with the moneylaundering documents to APEX FUND SERVICES S.A., 3 rue Gabriel Lippmann, L-5365 Munsbach, Grand Duchy of Luxembourg. For subsequent subscription, the Subscription Application Form may only be sent by facsimile transmission or in the form of a pdf attached to an email to the number or e-mail address stated here above.

The registrar and transfer agent accepts no responsibility for any loss caused as a result of non-receipt of any application sent by facsimile transmission or email. The acceptance of subscriptions is subject to confirmation of the prior receipt of subscription monies in cleared funds credited to the relevant subscription account of the Company (details of which are set out in this form) on or before the cut-off time as set out in the relevant supplement of the prospectus. Any delay in receipt of a duly completed form or of cleared funds will result in the relevant application being processed on the next subscription day. If the subscription is accepted, the registrar and transfer agent will endeavour to confirm such acceptance by written acknowledgment to the applicant within three (3) Business Days of actual receipt by the registrar and transfer agent of the application submitted in good order by facsimile or email. If the applicant fails to receive such written acknowledgement from the registrar and transfer agent within three (3) Business Days of submitting such application by facsimile or email, the applicant should contact the registrar and transfer agent at the address set forth in this form or by telephone on +352 279199 99000 to ascertain the status of its subscription, as it cannot assume its successful subscription until it receives such written acknowledgement from the registrar and transfer agent.

Except as otherwise indicated, terms capitalized herein shall have the meaning ascribed to them in the prospectus of the Company.

- **The funds should be remitted to the Bank Account shown in this form so as to arrive before the relevant cut-off time for subscription as mentioned in the prospectus and the KIIDS.**
- **The Key Investor Information Documents (the “KIIDS”) contains important information and you should read it before completing this form.**
- **Subscriptions received before the relevant cut-off time specified in the supplement of the prospectus shall be processed for the next subscription day and at the subscription price calculated on the relevant valuation day pertaining to the subscription day.**
- **This form / agreement will be legally binding when it is signed and the sums paid to the Company are received.**

APPLICANT INFORMATION

Company name: _____

Type of company:

☐ Corporation

 ☐ Insurance company

 ☐ Financial institution

 ☐ Broker
☐ Other: _____Regulated: ☐ No ☐ Yes: _____ (Name of the regulator)Listed: ☐ No ☐ Yes: _____ (country and market)**Registered Address:**

Country of residence for tax purposes:

Mailing Address (if different from registered address):

Contact person: _____

(In the case of an officer signing on behalf of a company, such officer may be required to provide evidence of his appointment and of his authority to sign)

Email: _____**Telephone:** _____**Bank details of applicant:**

Bank Name: _____

Bank address: _____

SWIFT: _____

For account number: _____

In the name of: _____

Please note that the subscription payment must come from a bank account in the name of the registered shareholder. The registrar and transfer agent will normally only process applications upon receipt of cleared funds by the appropriate cut-off time for subscription as set out in the prospectus and the KIIDs. All dividend and redemption payments will be made to this bank account (or such other replacement account in the name of the shareholder as may be notified to, and accepted by the registrar and transfer agent). If you wish the dividends or redemption payments to be wired to a separate bank account, please complete Annex G. Any amendments to the applicant's registration or account details can only be effected upon receipt of original documentation.

1. I/We hereby irrevocably agree to subscribe the amount set out below in section 2 (page 5) for the relevant shares in the Company in accordance with the terms of the prospectus and the KIIDs.

I/We confirm that payment of the subscription proceeds has been made by wire transfer to:

***European Depositary Bank S.A.
3, rue Gabriel Lippmann
L-5365 Munsbach
Grand Duchy of Luxembourg***

USD / CHF / EUR payments instructions for customer payments (MT103) are as follows:

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USD payments:

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Intermed. Bank:	Citibank NY
Intermed. Swift:	CITIUS33
Beneficiary bank:	European Depositary Bank SA
SWIFT:	WBWCLULL
Beneficiary:	Galloway Global Fund
IBAN:	LU19 0580 0008 6732 2000
Reference:	Class Name – Investor Name

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CHF payments:

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Intermed. Bank:	Credit Suisse Zürich
Intermed. Swift:	CRESCHZZ80A
Beneficiary bank:	European Depositary Bank SA
SWIFT:	WBWCLULL
Beneficiary:	Galloway Global Fund
IBAN:	LU19 0580 0008 6732 2000
Reference:	Class Name – Investor Name

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GallowayEUR payments:

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Intermed. Bank:	Banque Internationale à Luxembourg S.A.
Intermed. Swift:	BILLLULL
Beneficiary bank:	European Depositary Bank SA
SWIFT:	WBWCLULL
Beneficiary:	Galloway Global Fund

IBAN: LU19 0580 0008 6732 2000
 Reference: Class Name – Investor Name

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2. We hereby request to process our subscription funds in accordance with the following allocation¹ for the next available valuation day:

Galloway Emerging Markets Bond Fund – Class A Shares (ISIN: LU1090153690)

USD _____

Galloway Emerging Markets Bond Fund – Class B (USD) ACC Shares (ISIN: LU0972097231)

USD _____

Galloway Emerging Markets Bond Fund – Class B (USD) DISTR Shares (ISIN: LU0972098551)

USD _____

Galloway Emerging Markets Bond Fund – Class B (CHF) Shares (ISIN: LU1598480512)

CHF _____

Galloway Emerging Markets Bond Fund – Class B (EUR) Shares (ISIN: LU2085857899)

EUR _____

Galloway Emerging Markets Bond Fund – Class C Shares (ISIN: LU1090153773)

USD _____

Galloway Emerging Markets Bond Fund – Class Coupon Shares (ISIN: LU1090153856)

USD _____

Galloway Emerging Markets Bond Fund – Class C (BRL) Shares (ISIN: LU2228393604)

BRL _____

Galloway Emerging Markets Bond Fund – Class N Shares (ISIN: LU2023184281)

USD _____

Galloway Emerging Markets Bond Fund – Class S Shares (ISIN: LU1379429506)

USD _____

Galloway Emerging Markets Bond Fund – Class X Shares (ISIN: LU2023183713)

USD _____

3. We represent that:

This application is based solely upon the current prospectus of the Company, the KIIDs and the articles of association of the Company and that I/we have received and read and am/are familiar with the contents of the said prospectus and the KIIDs;

(a) I/We understand and are satisfied with the financial reporting and net asset value calculation procedures and terms of the company described in the prospectus, the KIIDs and the articles of association;

¹ This application needs only to indicate the total amount to be invested. The Company will calculate the number of Shares (including fractional Shares calculated to 2 decimal places) to be issued at the relevant Subscription Price.

- (b) I am/We are not a national or resident of or a partnership or corporation organised or existing under the laws of the United States or any state, territory or possessions thereof and nor do I/we hold or intend to hold for the benefit of any such US person **(If the person is a Permitted US Person, delete this part);**
- (c) This form has been completed accurately;
- (d) Payments will be made for the amounts due within the payment terms;
- (e) **The investor is the beneficial owner of this investment (If this is not the case, delete this part of the form and complete the Annex F - Beneficial Ownership Information);**
- (f) I/We acknowledge that due to anti-money laundering requirements in Luxembourg, the Company or the administrative agent will require all identification as necessary of me/us before the application can be processed and the Company or the administrative agent shall be held harmless and indemnified against any loss arising due to the failure to process this application if such information as has been required has not been provided by me/us.
- (g) I/We hereby confirm that the Company or the administrative agent are each authorised and instructed to accept and execute any instructions in respect of the shares to which this application relates given by me/us by facsimile or email. If instructions are given by me/us by facsimile or email, I/we undertake to forward the original immediately by post to the administrative agent. I/we hereby indemnify the Company and the administrative agent and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile or email instructions. The Company and the administrative agent may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions, or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. Neither the Company nor the administrative agent shall be responsible for any mis-delivery or non-receipt of any facsimile or e-mail instruction if they have not acknowledged receipt of the facsimile, e-mail or original document. Instructions sent to the Company or the administrative agent shall only be effective when actually acknowledged by the Company or the administrative agent. In the event that no acknowledgement is received from the within 3 Business Days of submission of the instruction. I/We understand and agree that the onus is upon me to contact the administrative agent on telephone number +352 279199 99000 to confirm receipt of the instruction.
4. I/We acknowledge that the Company, the administrative agent, the management company, the investment manager and/or the investment advisor and their affiliates may disclose to each other, to any other service provider to the Company or to any regulatory body in any applicable jurisdiction, copies of my/our application form and any information concerning me/us provided by me/us to the Company,

the administrative agent, the management company, the investment manager and/or the investment advisor and their affiliates and any such disclosure shall not be treated as a breach of any restriction upon the disclosure of information imposed on such person by law or otherwise.

5. I/We agree to indemnify and hold harmless the Company, the administrative agent and its directors, officers, employees, subsidiaries, shareholders, servants, agents, affiliates and permitted delegates and sub-delegates against any and all loss, liability, claim, cost, damage and expense whatsoever (including, but not limited to, any and all expenses whatsoever reasonably incurred in investigating, preparing or defending against any litigation commenced or threatened or any claim whatsoever) arising out of or based upon (a) any false representation or warranty or breach or failure by me/us to comply with any covenant or agreement made by me/us in this application form or in any other document furnished by me/us to any of the foregoing in connection with this transaction or (b) any action for securities law violations instituted by me/us which is finally resolved by judgment against me/us. I/We further agree that the indemnification obligations provided herein survive the execution and delivery of this application form.
6. I/we request that the Shares be held in book form to be registered in the name and address set out in page 3 – *Applicant Information*.
7. If the subscription is accepted, the registrar and transfer agent will endeavour to confirm such acceptance by written acknowledgment to the applicant within three (3) Business Days of actual receipt by the registrar and transfer agent of the application submitted in good order by facsimile or email. If the applicant fails to receive such written acknowledgement from the registrar and transfer agent within three (3) Business Days of submitting such application by facsimile or email, the applicant should contact the registrar and transfer agent at the address set forth in the Subscription Application Form or by telephone on +352 279199 99000 to ascertain the status of its subscription, as it cannot assume its successful subscription until it receives such written acknowledgement from the registrar and transfer agent.
8. The Anti Money Laundering in Annex A - *AML-KYC DOCUMENTATION REQUEST* must be completed in order to process this application and all the KYC/AML Documentation must have been provided to the administrative agent. Moreover, The FATCA and CRS (Common Reporting Standard) in Annex H - *ENTITY SELF-CERTIFICATION FORM FOR FATCA AND CRS* must be completed.
9. If you wish another individual(s)/entity(s) to receive all investor specific reporting, please complete Annex B - *ADDITIONAL INTERESTED PARTY CONTACTS*.
10. By signing this form, I/We state that:

- I/we are authorised to sign this form on behalf of the investor named above in page 3 – *Applicant Information* (Please complete Annex F-bis – *DECLARATION OF THE INVESTMENT ON OWN BEHALF/ THIRD PARTY BEHALF*);
- The applicant is not a US Person, i.e. any resident or person with the nationality of the United States or one of their territories or possessions or regions under their jurisdiction, or any other company, association or entity incorporated under or governed by the laws of the United States or any person falling within the definition of “US Person” under such laws (**If the person is a Permitted US Person, delete this part of the Declaration**);
- **The applicant is the beneficial owner of this investment (If this is not the case, delete this part of the Declaration and complete the Annex F - Beneficial Ownership Information).**
- This application form has been completed accurately;
- Payments will be made for the amounts due within the payment terms;
- The investor has a copy of the KIID(s) and of the prospectus;
- I/we have not only met Luxembourg’s private placement rules, but also those of my/our domicile;
- I/we have consulted my/our own, legal, tax and other advisers to ensure that the investment is appropriate for me/us;
- I/we will comply with the transfer provisions of the Company;
- I/we am/are aware that communication from the Company and the administrative agent will not be signed as it is distributed electronically;
- **Personal Data**: I/we agree to the processing of my/our personal data, as further described in Annex C – Personal Data;
- The **Politically exposed person** (“PEP”) declaration is complete and accurate, as the case may be (Please complete Annex D - *POLITICALLY EXPOSED PERSON*) (**If it is not applicable, delete this part of the declaration**);
- The source of funds declaration is complete and accurate (Please complete Annex E - *SOURCE OF FUNDS DECLARATION*)

11. Disclaimer: No party has positively guaranteed the investment (including return and suitability)

Signature(s)	Date

Annex A
AML-KYC DOCUMENTATION REQUEST

Note that the information described below is intended as guideline and ongoing monitoring of Alternative Fund Services (“AFS”) AML / KYC requirements should be performed in order to ensure that appropriate information is obtained at any point in time.

To comply with applicable anti-money laundering rules and regulations, you are required to provide the following information:

1.1 Institutional investors which are listed on a recognised stock exchange and/or are regulated by a regulator which applies equivalent AML-KYC standards as would be applied in Luxembourg.

- ☐ the original or a certified copy of the authorised signatory list; AND
- ☐ evidence of regulation or stock exchange listing via website of regulator/exchange.

1.2 Institutional investors which are not listed on a recognised stock exchange and/or are not regulated by a regulator which applies equivalent AML-KYC standards as would be applied in Luxembourg.

Please provide the following:

- ☐ the original or a certified copy of the authorised signatory list; AND
- ☐ a certified copy of your licence or authorisation; AND
- ☐ the latest version and certified copy of the statutes, memorandum and articles of association, trust instrument, statutes, or equivalent constitutive documents; AND
- ☐ a certified copy extract from the trade register (not more than three (3) months old); AND
- ☐ your latest set of audited accounts reports; AND
- ☐ list of shareholders.

Certified means certified by an embassy/consulate, notary, trade registry, court of competent jurisdiction or any other authority empowered to certify documents as recognised by the Company or its administrative agent and according to the specific rules applicable in the jurisdiction of the applicant's residence. The stamp of the certifying institution must be clearly affixed to each copy of the documents.

If the applicant is a private company, partnership, trust or equivalent vehicle, a beneficial owner declaration of the underlying shareholder must also be provided (Please complete Annex F).

If the Investor is carrying on a commercial activity, a beneficial owner declaration should be provided by all investors that have a controlling interest exceeding 25%.

Apex Fund Services (Malta) Limited, Luxembourg Branch, in its capacity as registrar and transfer agent, will provide the beneficial ownership declaration to be signed.

The Company or its administrative agent retain the right, in their absolute discretion, to require further documentation from you as a pre-requisite to accepting your investment in to the Company, including translations and certifications of any documents.

1.3 Subscriptions into the Company and any accounts opened may be suspended by the Company or its administrative agent until they are satisfied that the identification requirements under Luxembourg law have been fulfilled.

Annex B**ADDITIONAL INTERESTED PARTY CONTACTS**

Only complete this schedule if you wish another individual(s)/entity(s) to receive all investor specific reporting, including, for example, the individual investor capital account statement:

Additional Contact 1:

Name of the Additional Contact/Interested Party Address

of the Additional Contact/Interested Party Street:

Postal Code:

City:

Country:

Telephone:

Fax:

Email:

Additional Contact 2:

Name of the Additional Contact/Interested Party Address

of the Additional Contact/Interested Party Street:

Postal Code:

City:

Country:

Telephone:

Fax:

Email:

Annex C
PERSONAL DATA

*Within the framework of the Regulation (EU) 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC that entered into force on 25 May 2018, as amended from time to time (the “**GDPR**”), I/We hereby confirm that:*

- *I am/We are aware that personal data means any information relating to an identified or identifiable natural person. An identifiable natural person is one who can be identified – directly or indirectly – in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. I am/We are aware that all information relating to me/us and allowing to classify me/us as an identified or identifiable natural person, provided voluntarily in this Application Form and/or previously/subsequently by any means of communication constitute my personal data (the “**Personal Data**”);*
- *I am/We are aware that the Fund, the Registrar and Transfer Agent, the Management Company and other authorised parties shall safekeep and handle all Personal Data related to me/us in line with the provisions of the European Union and Luxembourg laws and regulations.*
- *I am/We are aware that in respect of my/our Personal Data, the Fund acts as a data controller and that the Registrar and Transfer Agent acts as data processor within the framework and the definitions under the GDPR;*
- *I am/We are aware of the relevant provisions of the Prospectus, especially section 7.10 “Data Protection” and I/We agree with all the conditions provided therein.*
- *I am/We are aware of the rights available for me/us in relation to my/our Personal Data, as specified under section 7.10 “Data Protection” of the Prospectus.*
- *I am/We are aware that the Fund and the Registrar and Transfer Agent are holding the Personal Data in line with the regulations and legal requirements under Luxembourg law and in order to be able to complete their regulatory and legal duties.*
- *I am/We are aware that without affecting the other provisions of this Application Form, the Personal Data supplied by me/us to the Registrar and Transfer Agent or the Fund (together, the “Addressee”) will be held on a computer and processed by the Addressee for purposes connected with my/our investment in the Fund, and to comply with applicable legal and regulatory requirements. All such Personal Data shall not be held for longer than reasonably necessary with regard to the purpose of the data processing or as otherwise required by law.*
- *I am/We are aware that my/our Personal Data, including information given in the subscription documents or otherwise in connection with an application to subscribe for shares, as well as details of their shareholding, will be stored in digital form and processed by the Fund and/or its service providers*

including the Registrar and Transfer Agent as a data processors pursuant to the GDPR and other applicable laws and regulations. Such Personal Data or information may be disclosed to the Fund (and its affiliates) and the Registrar and Transfer Agent (and its affiliates) which may be situated outside of the European Union where data protection laws may be of a lower standard than in the European Union. In such situations the Fund and/or the Registrar and Transfer Agent, as applicable, will undertake all the necessary steps to safeguard the processing of the Personal Data in accordance with the relevant provisions of law. In case of transfer of the Personal Data to the country outside of the European Economic Area, all the relevant information required by laws and regulations may be obtained – free of charge – from the Fund or the Registrar and Transfer Agent, as applicable.

- I am/We are aware that I am/we are entitled to restrict the use, review and correct my/our Personal Data the Fund has stored, and I/we may withdraw my/our consent to the use of your Personal Data at any time, affecting all future use. In order to exercise my/our rights, an e-mail shall be send to: dealinglux@apexgroup.com. Unless otherwise provided by Law, the Personal Data shall be retained and processed only to extent necessary and limited in time, during the period when I/we hold Shares in the Fund and subsequently for the period required by the relevant laws.*
- I/we understand and confirm that the Personal Data which will be requested by the Fund or the Registrar and Transfer Agent must be transmitted in order to proceed with the subscription of Shares. Should I/we refuse to communicate it, the Fund may refuse your subscription. I/we understand and confirm that subsequent exercising of any of my/our rights described herein in this Application Form or under section 7.10 of the Prospectus might affect my/our shareholding in the Fund, as the Fund and/or the Registrar and Transfer Agent might not be able to perform their legal obligations related to my/our participation in the Fund.*

The Fund and/or the Registrar and Transfer Agent shall not process, transfer, modify, amend or alter the Personal Data or disclose or permit the disclosure of the Personal Data to any third party unless:

- it is necessary to process Personal Data and provide the services and/or otherwise in accordance with the documented instructions of the data subject, or*
- it is required to comply with the GDPR or other laws to which the Fund is subject, in which case the Fund and/ or the Registrar and Transfer Agent shall (to the extent permitted by law) inform the data subject of that legal requirement before processing the Personal Data.*

The Fund and Registrar and Transfer Agent shall not disclose Personal Data to any other entity than those entities indicated in this Annex and under section 7.10 “Data Protection” of the Prospectus without my/our prior consent.

- In addition, the Fund and/or the Registrar and Transfer Agent are allowed to use aggregated data – to the extent this can no longer be considered Personal Data - for analyzing purposes, for website and for internal operations, data analysis, testing, research, for statistical purposes and for improving the quality of its services.*

<i>Signature(s)</i>		<i>Signature(s)</i>	
<i>Print Name(s)</i>		<i>Print Name(s)</i>	
<i>Date</i>		<i>Date</i>	

By ticking the below, I/We agree to the following:

Please tick the appropriate box.	Please tick	Comments, if any
<i>I agree with the use of my Personal Data in accordance with this Annex, as well as section 7.10 "Data Protection" of the Prospectus</i>	<input type="checkbox"/>	
<i>I agree with the use of my Personal Data for commercial purposes.</i>	<input type="checkbox"/>	
<i>I agree that my Personal Data may be disclosed to the Luxembourg tax authorities and/or other Luxembourg or international public authorities and/or any other authorized delegates, in accordance with the relevant provisions of Luxembourg or international law.</i>	<input type="checkbox"/>	
<p><i>I expressly consent by supplying my Personal Data to waive the confidentiality protection under the Luxembourg financial sector law of 5th April 1993, as amended. I acknowledge that Personal Data may be kept, processed and disclosed by the Fund, the Management Company, the Depositary, the Registrar and Transfer Agent and their affiliates for the following purposes:</i></p> <ul style="list-style-type: none"> <i>• identification of the applicant (as well as of the ultimate economic beneficiary, if different) to comply, among others, with legal obligations under applicable anti-money laundering / antiterrorism financing legislation,</i> <i>• processing subscriptions, redemptions and conversions of Shares and payments of dividends or interests to the data subject,</i> <i>• maintenance of a register of shareholders,</i> <i>• administration of the applicant's holding,</i> <i>• conducting of statistical and historical analyses on an anonymous basis, and</i> 	<input type="checkbox"/>	

<ul style="list-style-type: none"> more generally, complying with applicable legislation and/or regulatory requirements. 		
<p><i>I acknowledge that my consent may be withdrawn at any time in writing to the Fund. I may withdraw my consent at any time by giving written notice hereof. I have the right of deletion, access and of rectification of my Personal Data.</i></p>	<input type="checkbox"/>	

Signature(s)		Signature(s)	
Print Name(s)		Print Name(s)	
Date		Date	

Annex D
POLITICALLY EXPOSED PERSON

Status as a Politically Exposed Person (“PEP”)

Is the Investor, or any director, equity or beneficial owner thereof or any immediate family member or close associate of such person a senior government, political or military official (a “politically exposed person”)?

_____ Yes _____ No

If yes, please provide the following details:

Circle party potentially considered a PEP

Investor
Director
Beneficial Owner
Immediate Family
Close Associate

State individual considered a potential PEP

Which Government:

Which Government position:

Period in the Government position:

From _____ to _____

Annex E
SOURCE OF FUNDS DECLARATION

By signing this Application Form, the applicant confirms that all the funds used for the investment in the Fund are of lawful origin in accordance with applicable, Luxembourg and European Union, laws and regulations relating to anti-money laundering. Please summarise the sources of funds used to make this investment (for example, business profits (if so, state type of business), investment income, savings, etc.):

Annex F
BENEFICIAL OWNERSHIP INFORMATION

If you have completed this form but you are not the beneficial owner(s) please delete the relevant wording in the application form, and complete the box(es) below with details of the beneficial owner(s).

If the investor is a regulated financial institution in a country with anti-money laundering ("**AML**") regulations equivalent to Luxembourg, it is not required to complete this annex.

An ultimate economic beneficiary is the final beneficiary of the investment and who owns, directly or indirectly, more than 25% of the value of the shares subscribed.

In the case of indirect ownership, please provide a dated and signed structure chart indicating the complete structure with names and percentages of holding.

I/we declare that the final beneficiary of my/our investment is:

Full Name:

Registered of residential address:

Date of Birth (for Individuals):

Registration number for corporation:

Occupation (for Individuals):

Citizenship (for Individuals) or Principal Place of Business (for Entities):

Annex F-bis

Date : _____

Subject: Declaration of the investment on own behalf/ third party behalf

Investor Name: _____

Fund: _____

Dear Sirs,

We declare that investments made in the above mentioned Fund is made

delete the statement, which is not applicable

- on my/our own behalf
- on behalf of our client(s) each of whom we have properly identified

Printed name of the investor/authorised signatory _____

Signature _____

Annex G**BANK DETAILS FOR REDEMPTION AND DIVIDENDS**

If you wish the redemption proceeds or dividends to go to a different bank account than the account listed in page 3 of the form – *Applicant Information*, please complete the following annex G.

By leaving the annex E blank, redemption and dividend monies will be paid to the account listed in page 3 of the form – *Applicant Information*.

ALL PAYMENTS WILL BE MADE IN THE NAME OF THE REGISTERED SHAREHOLDER ONLY. NO THIRD PARTY PAYMENTS WILL BE EFFECTED.

Bank details for redemption and dividends:

Bank Name: _____

Bank address: _____

SWIFT: _____

For account number: _____

In the name of: _____

Annex H

ENTITY SELF-CERTIFICATION FORM FOR FATCA AND CRS

Section 1: FATCA Declaration Specified U.S. Person :

Please tick either (a) or (b) 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:

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

Section 2: Entity's FATCA Classification (the information provided in this section is for FATCA purposes, please note your classification may differ from your CRS classification in Section 4):

2.1 Financial Institution under FATCA:

If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity's GIIN at 3.1.2.

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

2.1.2 Please provide the Entity's *Global Intermediary Identification Number (GIIN)* :

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

I.	<i>Partner Jurisdiction Financial Institution</i> and has not yet obtained <i>GIIN</i>	
II.	<i>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN.</i> Please provide the sponsor's name and sponsor's <i>GIIN</i> :	

	Sponsor's Name :	Sponsor's GIIIN:	
III.	<i>Exempt Beneficial Owner</i>		
IV.	<i>Certified Deemed Compliant Foreign Financial Institution</i>		
V.	<i>Non-Participating Foreign Financial Institution</i>		
VI.	<i>Excepted Foreign Financial Institution</i>		
VII.	<i>U.S. Persons but not a Specified U.S. Person</i>		

2.2 Non-Financial Institution under FATCA :

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

a.	<i>Active Non-Financial Foreign Entity</i>	
b.	<i>Passive Non-Financial Foreign Entity</i> <i>(if this box is ticked, please include Controlling person Self-Certification forms for each of your Controlling Persons that is a Specified U.S. Person)</i>	
c.	<i>Excepted Non-Financial Foreign Entity</i>	
d.	<i>The Entity is a U.S. Person but not a Specified U.S. Person</i>	

Section 3: CRS Declaration of Tax Residency (Please refer to the glossary) :

Please indicate the Entity's place 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).

Country of Tax Residency	Tax ID Number (1)

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

If applicable, please specify the reason for non-availability of a Tax ID Number:

Section 4: Entity's CRS Classification (the information provided in this section is for CRS, please note your CRS classification may differ from your FATCA Classification in Section 2) (please refer to the glossary) :

a.	<i>Custodial Institution, Depository Institution, Specified Insurance Company or Investment Entity other than an Investment Entity under A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction</i>	
b.	<i>An Investment Entity under A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction (If this box is ticked, please include Controlling Person Self-Certification Forms for each of your Controlling Persons)</i>	
c.	<p><i>Active Non-Financial Entity –</i></p> <p><i>(i) a corporation, the stock of which is regularly traded on an established securities market. If you fall under this definition, please provide the name of the established securities market on which the corporation is regularly traded:</i></p> <p><i>(ii) a corporation which is a related entity of such a corporation If you fall under this definition, please provide the name of the regularly traded corporation that the entity identified in section I of this form is a Related Entity of:</i></p>	
d.	<i>Active Non-Financial Entity – a Government Entity or Central Bank</i>	
e.	<i>Active Non-Financial Entity – an International Organisation</i>	
f.	<i>Active Non-Financial Entity – other than (c)-(e) (for example a start-up NFE or a non-profit NFE)</i>	
g.	<i>Passive Non-Financial Entity (If this box is ticked, please include Controlling Person Self-Certification Forms for each of your Controlling Persons)</i>	

Section 5: Declarations and Undertakings

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

I/We undertake to advise the recipient within 30 days and provide an updated Self-Certification Form where any change in circumstance occurs, which causes any of the information contained in this Self-Certification Form to be incorrect.

I/We acknowledge that, in case the Country(ies) of Tax Residence listed in section 3 is/are CRS Reportable Jurisdiction(s), the information disclosed in this Form together with required information related to my/our financial account will be reported to the Luxembourg tax authorities or any other authorized delegates under Luxembourg law, and subsequently exchanged with the tax authorities of the CRS Reportable Jurisdiction(s) listed in Section 3, pursuant to international agreements to exchange financial account information.

I/We acknowledge that, as per Article 5 of the Luxembourg CRS law, answering questions related to the information disclosed in this Self Certification Form is mandatory.

Upon request, I/we will have access to the data concerning me/us that are disclosed to the Luxembourg tax authorities, and I/we will be in a position to rectify any of my/our personal data. The data collected will not be kept longer than necessary for the purpose of the Luxembourg CRS law.

Authorised Signature(s):

Capacity in which declaration is made:

Print Name(s):

Date: (dd/mm/yyyy):

GLOSSARY CRS

Note: These are selected definitions provided to assist you with the completion of this Self-Certification Form. Further details can be found in the Directive 2014/107/EU of 9 December 2014 “as regards mandatory automatic exchange of information in the field of taxation” and in the OECD Standard for Automatic Exchange of Financial Account Information (“OECD Common Reporting Standard, CRS”).

“Account Holder”	<p>The “Account Holder” in [X] is the person listed or identified as the holder of the Debt or Equity Interest in [X]. This is regardless of whether such person is a flow-through Entity.</p> <p>A person, other than a Financial Institution, holding a Debt or Equity Interest in [X] for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.</p>
“Active NFE”	<p>An entity will be classified as Active NFE if it meets any of the following criteria:</p> <p>a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</p> <p>b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;</p> <p>c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;</p> <p>d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</p> <p>e) the NFE is not yet operating a business and has no prior operating history, (a “start-up NFE”) but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;</p> <p>f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;</p> <p>g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or</p> <p>h) the NFE meets all of the following requirements (a “non-profit NFE”) :</p> <p>(i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of</p>

	<p>residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;</p> <p>(ii) it is exempt from income tax in its jurisdiction of residence;</p> <p>(iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>(iv) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>(v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.</p>
"Control"	<p>"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who holds the position of senior managing official.</p>
"Controlling Person(s)"	<p>"Controlling Persons" are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).</p> <p>In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.</p> <p>Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust. In the case of a legal arrangement other than a trust, "Controlling Person(s)" means persons in equivalent or similar positions.</p>
"Financial Institution"	<p>The term "Financial Institution" means a "Custodial Institution", a "Depository Institution", an "Investment Entity", or a "Specified Insurance Company". Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.</p>

"Investment Entity"	<p>The term "Investment Entity" includes two types of Entities:</p> <p>(i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:</p> <p>Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;</p> <p>Individual and collective portfolio management; or</p> <p>Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.</p> <p>Such activities or operations do not include rendering non-binding investment advice to a customer.</p> <p>(ii) The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution" – as defined under §A(6)(b) of Section VIII of the CRS) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.</p>
"Investment Entity managed by another Financial Institution"	<p>An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'. An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part).</p>
"NFE"	<p>An "NFE" is any Entity that is not a Financial Institution.</p>
"Non-Participating Jurisdiction"	<p>A "Non-Participating Jurisdiction" means a jurisdiction with which no agreement is in place pursuant to which it will provide the information set out in the CRS.</p>
"Participating Jurisdiction Financial Institution"	<p>The term "Participating Jurisdiction Financial Institution" means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.</p>
"Passive NFE"	<p>Under the CRS a "Passive NFE" means any: (i) NFE that is not an Active NFE; and (ii) Investment Entity as defined under §A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction.</p>
"Related Entity"	<p>An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.</p>
"Resident for tax purposes" / "Tax residency"	<p>Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident.</p>

“TIN” (including “functional equivalent”)	<p>The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for Entities, a Business/company registration code/number.</p>
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