

Fidante Partners Liquid Strategies ICAV (the Company)

Application Form

Please complete this Application Form in BLOCK CAPITALS and send the original to: Investor Services Team, c/o Citibank Europe plc, 1 North Wall Quay, Dublin 1, Ireland

The original Application and attachments must be sent to the above address. This Application Form may be faxed or emailed ahead of the original being sent: **Fax: + 353 1 622 4643 Email FidanteTA@citi.com**

If you have any questions, please contact: **Tel: + 353 1 622 1329 or email: FidanteTA@citi.com**

Words and expressions defined in the Prospectus of the Company or the Supplement of the relevant Fund shall, unless the content otherwise requires have the same meaning when used in this Application Form.

Note: Completed Application Forms can be sent by fax with the original copy to follow by post immediately thereafter along with all additional documents required in the AML Supplement in Annex I of this Application Form.

Please provide documentation five business days prior to your investment to avoid any delays. Failure to provide the necessary documentation may result in:

- Per the Central Bank of Ireland's requirement, initial applications not being placed. Furthermore redemptions will not be processed and/or paid on AML non-compliant accounts.
- A delay to the acceptance and/or payment of a redemption request without receipt of the original application form. No conversion or transfer requests will be processed unless all documentation requested at the time of application for Shares (including anti-money laundering information) has been obtained, all anti-money laundering procedures have been completed and the original of the Application Form has been received by Citibank Europe PLC (the Administrator).
- Any amendments to an investor's registration details or payment instructions will only be effected on receipt of original documentation and once verification procedures have been completed.

Completion Checklist

<input type="checkbox"/>	Complete Part A – Investor Details
<input type="checkbox"/>	Sign Part B – Account opening form acceptance
<input type="checkbox"/>	Complete Annex I – Anti-Money Laundering Documentation Requirements including any relevant schedules
<input type="checkbox"/>	Complete and sign Annex II – FATCA and CRS self-certification (individual or entity)
<input type="checkbox"/>	Complete Annex III (if required) – US Controlling Persons
	Send original Application Forms and required documents to address set out above

Part A – Investor Details

Registered name

Date of Birth

Registered address (please note that PO Box numbers will not be accepted as a registered address). If correspondence address is different to registered address, please notify us in a separate letter attached to this form. If this application relates to an individual please complete date of birth section. For Joint applications details must be provided for both holders.

Address

Postcode

Country

Contact name

Email address

Telephone number

Fax number

Joint Holder (2)

Date of Birth

Joint Holder (3)

Date of Birth

Investment Details

The classes available are set out in the Dealing Form:

If a dividend is payable on a Fund, it will be automatically reinvested in the form of additional shares. If you would prefer to have the dividend paid to your account, please tick here

If you would like to receive "Statement of Holdings" and "Statement of Transactions" via SWIFT Message (ISO 15022) for your registered account, please provide;

BIC Code:

Statement Required : Statement of Holdings (MT535) / Statement of Transactions (MT536) / Both

Statement Frequency : Daily / Monthly

Bank Account Details

Please provide settlement details for redemptions and dividend payments. Please note that any redemption proceeds will be paid to the respective currency account.

Please note that third party payments will not be accepted.

GBP

EUR

USD

JPY

Intermediary Bank name

Intermediary Bank SWIFTBIC

Beneficiary Bank name

Beneficiary Bank SWIFTBIC

Beneficiary Account number

IBAN Number (*compulsory for EUR*)

Final beneficiary account name

Reference Details

Administrator Details

GBP Funds

Corresponding Bank: Citibank N.A., London (CITIGB2L)

Beneficiary Bank: Citibank N.A., London (CITIGB2L)

Ultimate Beneficiary: Fidante Partners Liquid Strategies ICAV GBP SR

Sort Code: 18-50-08

Account Number: 12417626

IBAN* Number: GB94 CITI 18500812417626

Reference: Fund Name and Investor

USD FUNDS

Corresponding Bank: Citibank N.A., New York (CITIUS33)

Beneficiary Bank: Citibank N.A., London (CITIGB2L)

Ultimate Beneficiary: Fidante Partners Liquid Strategies ICAV USD SR

Account Number: 12417618

IBAN * Number: GB19 CITI 18500812417618

Reference: Fund Name and Investor

EUR Funds

Corresponding Bank: Citibank Europe PLC, Dublin (CITIE2X)

Beneficiary Bank: Citibank N.A., London (CITIGB2L)

Ultimate Beneficiary: Fidante Partners Liquid Strategies ICAV EUR SR

Account Number: 12417596

IBAN* Number: GB31 CITI 18500812417596

Reference: Fund Name and Investor

**International Bank account number*

Persons Approved to Deal

The following persons are approved to place trades on this account:

Name	Signature	Date
Name	Signature	Date
Name	Signature	Date
Name	Signature	Date

If you require further approved persons to deal by fax, please provide details on a separate page.

Authorised Signatories

Any changes to the details on this Application Form can only be accepted if made in writing by the authorised persons below:

Name	Signature	Date
Name	Signature	Date
Name	Signature	Date
Name	Signature	Date

Please indicate the number of approved persons required to make changes to the account: 1 2

If you require further authorised signatories, please provide details on a separate page.

Council Directive 2003/48/EC on taxation of savings income in the form of interest payments (the "Directive")

In the event that you elect to invest in a Fund of the Company, either initially or at a later date, the provisions of the Directive may apply to your investment.

The Directive imposes requirements on Administrators to collect certain information from investors who have invested in schemes or sub-funds that have, as its main investment policy, the investment in debt securities. The Directive will apply to paying agents in an EU Member State who make certain interest payments to individuals and certain other "residual entities" (but excluding in general terms legal persons and those subject to business taxation, proof of eligibility to avail of any exclusion may be required) within another EU

Member State. In accordance with the stated investment objective of a Fund, it is possible that it may be sufficiently invested in debt claims for the Directive to apply on redemptions and/or distributions.

Therefore, if redemption proceeds and/or distributions of a Fund are deemed to include interest for these purposes it will be necessary for the Administrator to collect certain information about relevant payees which would be passed to the appropriate EU tax authority, together with details concerning the redemption/distributions.

Accordingly, in order to enable us to comply with our requirements under the Directive, please also furnish us with your tax identification number or in the absence of such a number, confirmation of place of birth and documentary verification of same e.g. duly certified passport or official ID if it confirms the number /place of birth or certificate of residence for tax.

Tax Identification Number or Place of Birth of First Applicant:

Tax Identification Number or Place of Birth of Second Applicant:

We can confirm that such information obtained by us pursuant to the Directive will only be applied in order to enable us to fulfil our obligations under the Directive and for no other purpose.

In signing this Form:

I/We declare that the KIID(s) has/have been provided to us in good time prior to making the application for shares and that I/we have read, reviewed and understood the nature and the risks of the investment product that is being offered to me/us.

We hereby acknowledge and agree that the updated KIID for each share class is available from the Platform Manager's website at www.fidante.com/ucits and that I/we will read and review the most up-to-date version of the relevant KIID(s) prior to making any subsequent application for shares.

I/We are aware that copies of the Prospectus, latest annual and semi-annual reports, KIID(s) and other information are available from the Platform Manager's website at www.fidante.com/ucits and may also be obtained from the Administrator, Investor Services Team, c/o Citibank Europe plc, 1 North Wall Quay, Dublin 1, Ireland. I/We give full consent to receiving this information and the Prospectus, latest annual and semi-annual reports and KIID(s) by means of electronic communication.

Where I/we are investing as nominee, we shall provide our client(s) with the KIID issued in respect of the relevant Share class and 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. We shall maintain records of our provision of the KIID to our clients and shall furnish such records to the Company, or its delegates, upon request.

Signature(s) and Verifications

The undersigned hereby certifies the following:

1. I/we certify, represent and warrant that the information provided in this Application Form and the Annexes are complete, true and accurate and may be relied upon by the Company and the Administrator.
2. I/we certify, represent and warrant that I am/we are duly authorised to sign this Application Form and to subscribe for, switch or redeem Shares in the above authorised share classes and that by virtue of my/our subscribing for, holding or redeeming Shares I/we will not be in breach of (i) any of the certifications, representations and warranties contained in this Account Opening Form; (ii) any requirements contained in the Prospectus; and (iii) any laws or regulations of any competent jurisdiction. I/we hereby indemnify the Investment Manager, Custodian, Administrator and other Shareholders for any loss suffered by them as a result of any certifications, representations or warranties contained in this Account Opening Form not being true in every respect. I/we acknowledge that capitalised terms used in the Account Opening Form shall have the same meaning as defined terms in the Prospectus unless otherwise provided for in the Account Opening Form.
3. This application is not made by or for any US Persons (as such expression is defined in the relevant Prospectus). I/we will notify the Administrator immediately in the event that I/we become a US Person (as such expression is defined in the Prospectus).
4. I/we represent that I/we are not an ERISA plan (as such term is defined in the Prospectus)
5. I/we: (i) represent that I/we will not resell, reoffer or transfer any Shares or any interest therein, except with the consent of the Company, to a U.S. Person or ERISA plan (such terms are defined in the Prospectus); (ii) acknowledge that reoffers, resales or any transfer of the Shares may be made only in compliance with applicable securities laws; and (iii) understand that a transfer of Shares may only be effected on the books of the Company and acknowledge that the Shares shall be transferable only to eligible investors.
6. I/We hereby confirm that:

(a) I/We am/are or am/are not (please check the appropriate box) a "United States person" as such term is defined for US federal income tax purposes (referred to in the Prospectus as a "US Taxpayer" and defined therein).

(b) If I/we am/are a US Taxpayer, I/we have properly executed and furnished an IRS Form W-9 certifying as to my/our US tax status; if I/we am/are not a US Taxpayer, I/we have properly executed and furnished an appropriate IRS Form W-8 certifying as to my/our non-US tax status. Note: If the applicant is

a non-U.S. Taxpayer and an entity that has identified itself as a “passive NFFE” on the IRS Form W-8BEN-E or other appropriate IRS Form W-8 furnished to the Company, the applicant must also complete Annex IV.

(c) I/We (i) agree to provide the Company or its agents with such additional tax information as it may from time to time request, (ii) acknowledge and agree that such information may be provided to the United States and other governmental agencies (iii) acknowledge and agree that failure to provide requested information may subject me/us to liability for any resulting US withholding taxes (whether US or otherwise), tax information reporting and/or mandatory redemption, transfer or other termination of my/our interest in Shares of the Company, and (iv) agree to waive any provision of law that would prevent such reporting, withholding or termination of the my/our interest in Shares of the Company.

7. This application is not made by or for a natural person.
8. I am a/we are eligible investor(s) as set out in the Prospectus.
9. I/we agree to provide the declaration and warranties contained herein to the Company and at such times as the Company may request such certifications, documents or other evidence as the Company may reasonably require to substantiate such representations. I/we agree to notify the Company immediately if I/we become aware that any of the declarations and warranties contained herein is/are no longer accurate and complete in all respects.
10. I/we hereby confirm that the Company and the Administrator are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form, or by facsimile. I/we agree to the recording by the Administrator of the telephone conversations, and that if conversations are recorded, I/we agree to the retention of the recordings by the Administrator. As part of the security procedures the caller will be asked a number of questions to verify his or her identity on the telephone as authorised representative on behalf of the investor. Correct responses to these questions will entitle the Administrator to treat the caller as an authorised representative. In the event that the caller is not able to confirm the required information, or if the Administrator in its sole discretion is not satisfied with the caller’s authenticity, the investor could be required to instruct all trades in writing, signed by an authorised representative in the usual manner. I/we hereby indemnify the Company, the Administrator and agree to keep them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting upon facsimile or telephone instructions, except to the extent that such loss is due to the fraud, negligence or wilful default of the Company or the Administrator. In circumstances where such instructions relate to a change in the Bank Account Details for redemption payments referred to above, I/we confirm that I/we will provide the Company or the Administrator with an original written instruction. The Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
11. I/we confirm that I/we have received and understood a copy of the Prospectus and Supplement for the relevant Fund, current at the date of this application (together “the Prospectus”). I/we acknowledge that this application is made on the terms of the Prospectus, as amended from time to time, and material contracts referred to therein together (where applicable) with the most recent annual report and accounts of the Company and subject to the provisions of the Company’s Instrument of Incorporation.
12. If I am/we are acting as trustee, agent, representative or nominee for a subscriber (“Beneficial Owner”), I/we understand and acknowledge that I/we make the representations, warranties and certifications made herein: (i) with respect to myself/ourselves; and (ii) with respect to the Beneficial Owner. I/we represent and warrant that I/we have all requisite power and authority from said Beneficial Owner to execute and perform the obligations under this Account Opening Form.
13. I/we hereby undertake to observe and be bound by the provisions of the Instrument of Incorporation (as amended from time-to-time) of the Company and apply to be entered in the register of Shareholders as the holder/holders of the Shares issued in relation to this application.
14. I/we direct that on the death of one of us the Shares for which we hereby apply will be held in the name of and to the order of the survivor(s) of us or the executors and administrators of such survivor (applicable to natural persons only).
15. I/we understand that the personal information I/we provide in my/our interaction with the Company will be collected, stored and used as it relates to my/our investment in the Company. I/we acknowledge that we are advised to read in detail the Privacy Notice available at Annex III. This document provides an outline of my/our data protection rights and the Company’s and its duly authorised delegates’ data protection obligations.
16. The Company and the Administrator reserve the right to seek evidence of identity to comply with applicable money laundering regulations. In such case of delay or failure to provide satisfactory, truthful or accurate information, the Company and the Administrator may take such action as they see fit. The Administrator and 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 has not been provided by me/us.
17. I/we acknowledge that the entry into this Account Opening Form constitutes, and the exercise by me/us of my/our rights and performance of my/our obligations under this Account Opening Form will constitute, private and commercial acts performed for private and commercial purposes; and I/we will not be entitled to claim immunity from suit, execution, attachment or other legal process in any proceedings taken in relation to this Account Opening Form.
18. I/we represent and warrant that I/we have disclosed the existence of any Politically Exposed Persons (“PEPs”) or Immediate Family Members of PEPs (both as defined below) within its ownership structure, and I/we agree to notify the Administrator and a Fund as soon as possible upon becoming aware that any PEPs or Immediate Family Members of PEPs have joined its direct or indirect ownership structure. PEPs are Immediate Family Member is defined in Annex I.
19. I/we hereby represent and warrant that I/we have disclosed to the Administrator and a Fund any actual or potential Exposure (as defined below) to any of the jurisdictions referred to the prospectus, which may be amended from time to time. I/we agree and undertake to notify the Administrator and a Fund promptly should my/our Exposure change. “Exposure” means any charitable, commercial, corporate, or otherwise economic presence, benefit or arrangement located in or deriving from any of the Jurisdictions including, amongst others: charitable or commercial activities and operations; commercial dealings and contracts; investments; holdings, memberships or participations, whether direct or indirect, in locally incorporated entities or partnerships; or (in the case of natural persons who are either citizens, nationals or residents of or in any of the Jurisdictions) any economic rights or beneficial ownerships connected to any of the foregoing jurisdictions.
20. I am/we are fully informed as to the legal and tax requirements within my/our own country (or countries) regarding the purchase of the Shares.
21. I/we agree to indemnify the Company for any loss, costs or expenses incurred directly or indirectly by the Company as a result my/our failure to pay for Shares applied for by the due date set forth in the Prospectus and the Supplement. I/we understand that if I/we fail to pay for Shares applied for by the due date set forth in the Prospectus and the Supplement the relevant allotment of Shares may be cancelled and I/we may be required to compensate the Company.
22. Declaration of Residence outside Ireland

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration, which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares, Terms used in this declaration are defined in the Prospectus (see heading “Irish taxation”). I am/we are fully informed as to

the legal and tax requirements within my/our own country (or countries) regarding the purchase of the Shares. **Important – please tick box (a), (b) as appropriate. If you are a Swiss investor, please complete (c).**

(a) Declaration on own behalf

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

- I am/we are/the company is* not currently Irish Resident or Irish Ordinary Resident; and
- Should I/we/the company* become Irish Resident I/we* will so inform the Company in writing accordingly

*Delete as appropriate, or

(b) Declaration as Intermediary

I/we* declare that I am/we are* applying for the 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 Irish Resident nor Irish Ordinary Resident

I/we* also declare that:

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

*Delete as appropriate

(c) **Swiss Investors only**

Please confirm if the following applies:

- Confirmation that they are a Qualified Investor; or
- If a high net worth individual, do they want to be considered a Qualified Investor; or
- If an Independent Asset Manager, commits to only use the information provided to it, for its clients that are Qualified Investors.

Name and address of applicant: _____

Signature of applicant or authorised signatory: _____(declarant)

Capacity of authorised signatory (if applicable) _____

Date _____

23. I/we hereby authorise the Administrator to release audit information on my/our account to my/our Auditor/s on request.

_____ (insert name of Auditor/s)

Notes:

- Where a natural person is making an application for shares or units he/she should contact the Administrator to provide further tax identification information.
- 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, Account Opening Forms (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by each applicant. In the case of joint applicants, each must sign. In the case of a corporation, Account Opening Forms should be signed by a duly authorised signatory provided that a certified copy of the authority authorising the signatory and an authenticated list of signatories accompanies this form.
- If this Account Opening Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany it.

Part B – Account Opening Form Acceptance – Agreement to the terms and conditions set out above

To be completed by one or more Authorised Signatories (as detailed on page above) as per signing capacity.

(1)

Signature of authorised signatory (Declarant)

Date

Name and capacity of authorised signatory (if applicable)

(2)

Signature of authorised signatory (Declarant)

Date

Name and capacity of authorised signatory (if applicable)

Annex I: Anti-Money Laundering Documentation Requirements

You must complete this Anti-Money Laundering Supplement (**AML Supplement**) as part of the Application Form. The Application Form will be deemed incomplete, and you will not be deemed an Investor in the relevant Fund, regardless of whether you have already wired funds, until all of the required documentation for your investor type is received and deemed to be in good order. A delay in providing documentation can result in delayed processing of the initial application and/or delayed payment of any future redemption proceeds. The Company and/or the Administrator reserve the right to request additional documentation from time to time.

We would suggest that all AML documentation is provided at least five days before the initial trade date.

Enhanced Due Diligence is required to be applied to investors who are Politically Exposed Persons (**PEPs**) or in any other such circumstance as the Company or Administrator may deem. For example, the Administrator will require additional information where the investor is a PEP or, in other cases, in order to disregard the investor as a possible PEP.

SECTION I – INSTRUCTIONS

- (1) Fill in information in Section II.
- (2) Identify the applicable Investor Type in Section III and submit the required documentation for that Investor Type.
- (3) Check the appropriate box in Sections IV and V.
- (4) Complete Ultimate Beneficial Owner Form attached as Schedule I & II.

A properly completed and executed copy of the Application Form, completed AML Supplement, and documentation required under Section V is to be provided to the Company's Administrator, via facsimile at + 353 1 622 4643. The original Application Form, completed AML Supplement, and documentation must be sent to the Company's Administrator immediately thereafter and should be addressed to the Investor Services Team, c/o Citibank Europe plc, 1 North Wall Quay, Dublin 1, Ireland.

Fax: + 353 1 622 4643.

SECTION II: INVESTOR DETAILS (please complete either Individual or Corporate details as appropriate)

Name of Applicant	
Registered Address	
Principal Business Address	
Occupation	
Date of Birth	

PLEASE NOTE THAT THIRD PARTY PAYMENTS WILL NOT BE ACCEPTED.

SECTION III: INVESTOR TYPES

In order to comply with regulatory standards, you are required to provide information and documentation based on your investor type. Please review the Investor Types and provide the required documentation to the Administrator five days before initial application date. All Investor types are listed and that upon receipt of the requested documents, the Administrator may be obliged to request further documentation to comply with any applicable legislation other than what is outlined below. Enhanced Due Diligence Investors must provide certified documentation.

Failure to provide the required documentation will result in a delay in processing your application/redemption.

Please tick the correct investor type

1	Individuals (or each joint investor)	<input type="checkbox"/>
	Original Application Form	
	A copy of a form of photographic identification that includes the investor's name and date of birth	
	A copy of two forms of Proof of Address	
2	Company Listed on Equivalent Stock Exchange	<input type="checkbox"/>
	Original Application Form	
	Original Mandate with authorised signatories	
	Copy Proof of listing	
3	Company – Not Listed or Listed on Non-equivalent Stock Exchange	<input type="checkbox"/>
	Original Application Form	
	A copy of the Certificate of Incorporation	
	A copy of the Memorandum and Articles of Association	
	Original Mandate with authorised signatories	
	A copy of the board resolution authorising the investment (if applicable)	
	A register of the Directors or a copy of audited annual accounts listing the directors	
	A copy of a form of photographic identification for 2 Directors or 1 Director and one Authorised Signatory	
	Two copies of proof of residential address for 2 Directors or 1 Director and one Authorised Signatory	
	Full list of shareholders detailing the percentage ownership	
	Copies of verification of the identity of any UBO entitled to 25% or more of the issued share capital – where there are no UBO's, the Directors verified should be the most Senior Members of the Board	
4	Designated Person/Regulated Entity	<input type="checkbox"/>
	Original Application Form	
	Proof of regulation for the designated person	
	Original Mandate with authorised signatories	
5	Nominee of a Designated Person	<input type="checkbox"/>
	Original Application Form	
	Proof of regulation for the Designated Person	
	Original Mandate with authorised signatories	

	Nominee template letter from Designated Person	
6	Private Trust – with Designated Person Trustee	<input type="checkbox"/>
	Original Application Form	
	Proof of regulation for the Designated Person	
	Original Mandate with trust's authorised signatories	
	Original AML template letter from Designated Person	
7	Private Trust – with No Designated Person Trustee	<input type="checkbox"/>
	Original Application Form	
	Copy of an Extract from the Trust Deed setting out the following points – Full name of the trust – Nature and purpose of the trust – Jurisdiction in which the trust was established – The names of all of the trustees – Names of any and all controllers, protectors and/or settlors – The names of all beneficiaries that may be entitled to the trust property	
	Copy of evidence that the persons representing the trust are entitled to do so (If not included in the extract of the Trust Deed)	
	Original Mandate with authorised signatories	
	Verification of all Settlor/Protectors/Grantors as per entity type (e.g. Individual, Company, etc.)	
	Verification of Two Trustees or one Trustee and one Authorised Signatory (e.g. Individual, Company, etc.)	
	Verification of all Beneficiaries entitled to the Trust. (e.g., Individual, Company, etc.)	
8	Institutional – Charities/Clubs and Societies, Foundations	<input type="checkbox"/>
	Original Application Form	
	Copy of Constitutive Document	
	Full name of the institution	
	Nature and Purpose of the institution	
	Registered office address of the institution	
	If not included in the Constitution Document, List of controllers on headed notepaper: (Principals/Trustees/Directors/Board Members/Protectors/Settlors or equivalent)	
	A copy of a form of photographic identification for two Controllers or one Controller and one Authorised Signatory	
	2 copies of forms of proof of residential address for two Controllers or one Controller and one Authorised Signatory	
	Original Mandate with Authorised Signatories	
9	Credit and Financial Institutions in Non-prescribed Jurisdictions without a Parent Company based in a Prescribed Country	<input type="checkbox"/>
	Original Application Form	
	A copy of the Certificate of Incorporation	
	A copy of the Memorandum and Articles of Association	
	Original Mandate with authorised signatories	
	A copy of the board resolution authorising the investment (if applicable)	

	A register of the Directors or a copy of audited annual accounts listing the directors	
	A copy of a form of photographic identification for 2 Directors or 1 Director and one Authorised Signatory	
	Two copies of proof of residential address for 2 Directors or 1 Director and one Authorised Signatory	
	Full list of shareholders of the Credit and Financial Institution detailing the percentage ownership	
	Copies of verification of the identity of any UBO entitled to 25% or more of the issued share capital – where there are no UBO's, the Directors verified should be the most Senior Members of the Board	
	Written Confirmation on headed paper or by email that Funds are Proprietary OR Verification of the identity of the underlying entity in line with the requirements for that entity type	
10	Employee Contribution Pension Scheme in a Prescribed Country – Proof of Registration Available	<input type="checkbox"/>
	Original Application Form	
	A copy of the letter of registration issued by the relevant authority	
	Original Mandate with authorised signatories	

SECTION IV: POLITICALLY EXPOSED PERSON (PEP) REPRESENTATION

PEPs and immediate family members, and close associates of such persons must also be identified and are subject to Enhanced Due Diligence.

“Politically Exposed Person” means any individual who is or has been entrusted with state or otherwise public functions which include, amongst others: heads of state; heads of government; ministers (including deputy ministers and assistant ministers); members of parliaments; members of high-level judicial bodies (including supreme courts, constitutional courts or any other judicial body whose decisions are not generally subject to further appeal, other than in exceptional circumstances); members of courts of auditors; members of the boards of central banks; state ambassadors, or chargés d’affaires; high-ranking officers in the armed forces; members of the administrative, management or supervisory bodies of state-owned or otherwise controlled enterprises.

“Immediate Family Member” includes, amongst others, the immediate family members of a Politically Exposed Person, including: spouses, partners, children (including spouses or partners of children) or parents.

I am a PEP, and/or immediate family member, and/or close associate of a PEP. *Please provide the following details and complete Schedule I - Source of Wealth Confirmation:*

Name:	
Residential Address:	
Date of Birth:	
Occupation:	

I am NOT a PEP, and/or immediate family member, and/or close associate of a PEP.

SOURCE OF WEALTH CONFIRMATION

"I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require the verification of my/our identity, address and source of funds and in certain circumstances of the relevant beneficial owner. In addition, this also requires the ongoing monitoring of our business relationship. I/we also acknowledge that the commencement of a business relationship with politically exposed persons, commonly referred to as PEPs, requires a higher level of scrutiny. A PEP is an individual who is or has, or at any time been entrusted with a prominent public function, his/her immediate family members and/or close associates of such person.

Source of Wealth

If you have answered Yes to either of the previous questions, please complete the following:

To comply with the requirements of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010, 2013 & 2018, you are required to provide information to confirm the source of funds and source of wealth in respect of the amount you are investing. This checklist must be signed and dated by either the investor(s) or the intermediary.

Please fully complete the appropriate sections and associated details below.

Individual Investors: Please ensure that both A and C below are fully completed

Corporate Investors: Please ensure that both B and C below are fully completed

A Individuals

(to be completed in respect of single and joint applicants)

Occupation	
Employer (omit if retired)	
Annual Income (omit if retired)	

Source of funds	
Income	
Savings	
Inheritance	Benefactor
	Date
Sale of existing assets	Type of assets sold
Other	Please specify

Details of Additional Assets Held

Cash	Value	
Property	Value	
Shares/Bonds	Value	
Other (Details)		

None

Investor's net worth (total assets less liabilities) In respect of joint applicants, combined total net worth

USD/EUR 100,000 to 500,000

USD/EUR 500,001 to 1,000,000

USD/EUR 1,000,001 to 1,250,000

More than USD/EUR 1,250,000

B Corporate

Please provide one of the following

- (i) an original document or certified true copy of latest audited financial statements, or
- (ii) an original document or certified true copy of latest financial statements, or
- (iv) confirmation that (i) or (ii) are not produced plus details of the corporate's:
 1. Activities and nature of business activity
 2. Annual net profits for previous and current financial years and net assets at end of current and previous financial years
 3. Anticipated level of investment in products offered by SS&C in the coming 12 months

C This checklist must be signed and dated by the investor(s) or the intermediary

Prepared by (capitals)

Name of investor

or Name of intermediary

Signature

Date

Ultimate Beneficial Ownership Form

Ultimate Beneficial Owners are individuals who directly, or indirectly, hold ownership or control of 25 per cent or more of the shares or voting rights in an entity, or otherwise exercise control over the management of the entity. The definition of Beneficial Owner is set out below.

The measures the Administrator should take to comply with its Customer Due Diligence obligations will depend on how the customer or the investor (where the investor is not the customer) comes to the relevant Fund. This can be achieved by asking investors to declare, when they first apply to join the relevant Fund, whether they are investing on their own behalf or whether they are an intermediary investing on someone else's behalf .

Please tick one of the options below that describes your role:

- a natural or legal person who is directly purchasing units of or shares in the fund on their own account, and not on behalf of other, underlying investors; or
- a firm that, as part of its economic activity, is directly purchasing units of or shares in its own name and exercises control over the investment for the ultimate benefit of one or more third parties who do not control the investment or investment decisions; or
- a firm (for example: a financial intermediary) that acts in its own name and is the registered owner of the shares or units but acts on the account of, and pursuant to specific instructions from, one or more third parties (e.g. because the financial intermediary is a nominee, broker, multi-client pooled account/omnibus type account operator or operator of a similar passive-type arrangement); or
- a firm's customer, for example a financial intermediary's customer, where the firm is not the registered owner of the shares or units (e.g. because the investment fund uses a financial intermediary to distribute fund shares or units, and the investor purchases units or shares through the firm and the firm does not become the legal owner of the units or shares).

Beneficial Ownership:

A beneficial owner as any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted. Citi is obliged to identify and in some instances verify beneficial owners .

Please tick one of the below boxes and complete the relevant section:

- We confirm there is or are one or more natural person(s) who is a beneficial owner of the investor. (Please complete Section 1 below of this declaration).
- We confirm there is no natural person(s) who is a beneficial owner of the investor. (Please complete Section 2 of this declaration).

Section 1: Natural person(s) who is a beneficial owner of the investor

Beneficial Owner 1 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.
Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.

Residential Address Country	Click or tap here to enter text.
-----------------------------	----------------------------------

Beneficial Owner 2 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.
Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.
Residential Address Country	Click or tap here to enter text.

Beneficial Owner 3 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.
Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.
Residential Address Country	Click or tap here to enter text.

If needed, please add additional natural person(s) who are beneficial owners on a separate sheet

Section 2: No natural person(s) who is a beneficial owner of the investor

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior Managing Official 1 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Role	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.
Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line 1	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.
Residential Address Country	Click or tap here to enter text.

Senior Managing Official 2 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Role	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.
Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line 1	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.
Residential Address Country	Click or tap here to enter text.

Senior Managing Official 3 (please complete in block capitals)

Full Name	Click or tap here to enter text.
Role	Click or tap here to enter text.
Identification Number or Passport Number	Click or tap here to enter text.
Occupation	Click or tap here to enter text.
Date of Birth	Click or tap here to enter text.
Place of Birth	Click or tap here to enter text.

Nationalities	Click or tap here to enter text.
Percentage Ownership	Click or tap here to enter text.
Residential Address Line 1	Click or tap here to enter text.
Post or ZIP Code	Click or tap here to enter text.
Residential Address Country	Click or tap here to enter text.

Definition of Beneficial Owner:

Sections 26 to 30 of the Criminal Justice Act 2010 define a beneficial owner as any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least: .

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information.

A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) in the case of partnerships: means any individual who—

(a) ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25 per cent share of the capital or profits of the partnership or more than 25 per cent of the voting rights in the partnership, or (b) otherwise exercises control

(c) in the case of trusts: means any of the following—

(1) (a) any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;

(b) in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in paragraph (a), the class of individuals in whose main interest the trust is set up or operates;

(c) any individual who has control over the trust.

(d) the settlor;

(e) the trustee;

(f) the protector.

(2) For the purposes of and without prejudice to the generality of subsection (1), an individual who is the beneficial owner of a body corporate that— (a) is entitled to a vested interest of the kind referred to in subsection (1) (a), or (b) has control over the trust, is taken to be entitled to the vested interest or to have control over the trust (as the case may be).

(3) Except as provided by subsection (4), in this section "control", in relation to a trust, means a power (whether exercisable alone, jointly with another person or with the consent of another person) under the trust instrument concerned or by law to do any of the following: (a) dispose of, advance, lend, invest, pay or apply trust property; (b) vary the trust; (c) add or remove a person as a beneficiary or to or from a class of beneficiaries; (d) appoint or remove trustees; (e) direct, withhold consent to or veto the exercise of any power referred to in paragraphs (a) to (d).

(4) For the purposes of the definition of "control" in subsection (3), an individual does not have control solely as a result of the power exercisable collectively at common law to vary or extinguish a trust where the beneficiaries under the trust are at least 18 years of age, have full capacity and (taken together) are absolutely entitled to the property to which the trust applies.

(c) in relation to the estate of a deceased person in the course of administration, means the executor or administrator of the estate concerned.

(d) (1) in relation to a legal entity or legal arrangement, other than where the paragraphs above apply, means—
(a) if the individuals who benefit from the entity or arrangement have been determined, any individual who benefits from the property of the entity or arrangement,
(b) if the individuals who benefit from the entity or arrangement have yet to be determined, the class of such individuals in whose main interest the entity or arrangement is set up or operates, and
(c) any individual who exercises control over the property of the entity or arrangement.
(d) any person holding a position, in relation to the legal entity or legal arrangement that is similar or equivalent to the position specified in paragraphs (d) to (f) of section 28(2) in relation to a trust.

(2) For the purposes of and without prejudice to the generality of subsection (1), any individual who is the beneficial owner of a body corporate that benefits from or exercises control over the property of the entity or arrangement is taken to benefit from or exercise control over the property of the entity or arrangement.

(3) In this Part, "beneficial owner", in relation to a case other than a case to which section 26, (a), (b) or (c), or subsection (1) of this section, applies, means any individual who ultimately owns or controls a customer or on whose behalf a transaction is conducted.

Note:

Trade will, not be placed, until the Ultimate Beneficial Owners have been confirmed.

Please return this form duly completed with the Application Form

Please ensure the form is fully completed and, in the case of a corporate entity, please sign in accordance with the authorised signatory list.

Signature One;

Signed by;

Date:

Signature Two;

Signed by;

Date:

Annex II: FATCA and CRS self-certification

Applicants who are individuals should complete this form. Applicants who are not individuals should complete the form entitled "Entity Self-Certification for FATCA and CRS", which is set out immediately after this form.

Individual Self-Certification for FATCA and CRS

Instructions for completion

We are obliged under Section 891E and Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the relevant Fund with the Irish Revenue Commissioners who may share the information with the tax authority of the Applicant's country of residence if that country has implemented the CRS regime or with the Internal Revenue Service of the United States for FATCA purposes. This form is intended to request information only where such request is not prohibited by Irish law.

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

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

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

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

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

Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity. For further guidance see. [CLICK HERE](#)

*(Mandatory fields are marked with an *)*

Section 1: Investor Identification

Investor Name*: _____

Current Residential Address*:

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Place Of Birth*

Town or City of Birth*: _____ Country of Birth*: _____

Date of Birth*: _____

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

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

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

OR

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

Section 3: CRS Declaration of Tax Residency

(please note you may chose more than one country)*

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

Country of Tax Residency	Tax ID Number

NOTE: Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a TIN. For further information/assistance on TIN obligations under CRS please see OECD CRS Information Portal.

Section 4 – Type of Controlling Person

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

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

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

Controlling Person of a legal arrangement (non-trust) – other-equivalent		
--	--	--

Section 5: Declaration and Undertakings:

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

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

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

Authorised Signature*: _____

Print Name*: _____

Date: (dd/mm/yyyy)*: _____

Capacity*: _____

Applicants who are entities should complete this form. Applicants who are not entities should complete the previous form entitled "Individual Self-Certification for FATCA and CRS", set out immediately before this form.

Entity Self-Certification for FATCA and CRS

Instructions for completion

We are obliged under Section 891E and Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the relevant Fund with the Irish Revenue Commissioners who may share the information with the tax authority of the Applicant's country of residence if that country has implemented the CRS regime or with the Internal Revenue Service of the United States for FATCA purposes. This form is intended to request information only where such request is not prohibited by Irish law.

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

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

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

*(Mandatory fields are marked with an *)*

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

Section 1: Investor Identification

Investor Name*: _____ (the "Entity")

Country of Incorporation or Organisation: _____

Current Registered address*:

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

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

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

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

U.S. TIN: _____

Or

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

Or

c) The Entity is not a U.S. Person

Section 3: Entity's FATCA Classification*

(the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5):

3.1 Financial Institutions under FATCA:

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

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

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

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

I.	Exempt Beneficial Owner	
II.	Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution)	
III.	Non-Participating Foreign Financial Institution	
IV.	Excepted Foreign Financial Institution	

3.4 Non-Financial Institutions under FATCA:

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

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

Section 4: CRS Declaration of Tax Residency

(please note that you may choose more than one country)

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

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

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

Country of Tax Residency

Tax ID Number

Section 5: Entity's CRS Classification*

The information provided in this section is for CRS. Please note that an Entity's CRS classification may differ from its FATCA classification in Section 3): For more information please see the CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

5.1 Financial Institutions under CRS:

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

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

5.2 Non Financial Institutions under CRS:

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

I.	<i>Active Non-Financial Entity</i> – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation	
II.	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank	
III.	<i>Active Non-Financial Entity</i> – an International Organisation	
IV.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	<i>Passive Non-Financial Entity</i> (If this box is ticked, please complete a separate individual self-certification form for each of your Controlling Person(s).	

Information in relation to Controlling Person(s)

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

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

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

Section 6: Declarations and Undertakings

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

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

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

Authorised Signature(s)*:

Print Name(s)*:

Capacity in which declaration is made*:

Date: (dd/mm/yyyy)* _____

Annex III: Privacy Notice - Fidante Partners Liquid Strategies ICAV

Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the "Data Protection Legislation").

In this document, "we", "us" and "our" refer to the Company and its affiliates and delegates.

Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

Your personal data

By virtue of making an investment in the Company and your associated interactions with us (including the initial application, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

How we may use your personal data

The Company, as the data controller, may collect, store and use your personal data for lawful purposes disclosed below:

- (i) to reflect your ownership of shares in the relevant Fund (i.e. where this is necessary for the performance of the contract to purchase shares in the Fund or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);
- (ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or
- (iii) for direct marketing purposes (that is, us providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Should you wish to use your personal data for other specific purposes (including if applicable any purpose that requires your consent) we will contact you.

Why we may transfer your personal data

In certain circumstances we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the relevant Fund with the Irish Revenue Commissioners and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

We anticipate that the following affiliates and delegates may process your personal data on our behalf and this may include certain entities located outside the EEA:

- the Administrator. Citibank Europe plc;
- the investment managers appointed in respect of each sub-fund of the Fund; and
- the Fund's distributor Fidante Partners Europe Limited; and their respective affiliates.

The data protection measures we take

Any transfer of personal data by us or any of our duly authorised delegates outside the EEA, which will include the United States and Australia, shall be subject to appropriate safeguards being in place to ensure that your personal data will remain adequately protected in accordance with the conditions in the Data Protection Legislation. Please contact us if you wish to obtain more information on the appropriate safeguards. See "Getting in touch" below.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

Your data protection rights

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;
- the right to lodge a complaint with the Data Protection Commission (our lead supervisory authority).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

Our retention of your personal data

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the relevant Fund or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

Getting in touch

The Company is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact

Privacy Officer
Fidante Partners
Dataprotection@fidante.com
+44 207 832 090

Annex IV: Certification Relating to U.S. Controlling Persons of a Passive NFFE

To be completed if the applicant is a non-U.S. Taxpayer and an entity that has identified itself as a "passive NFFE" on the IRS Form W-8BEN-E or other appropriate IRS Form W-8 furnished to the Company

To enable the Company to satisfy its due diligence requirements as a "registered deemed-compliant foreign financial institution" pursuant to an intergovernmental agreement between the United States and Ireland to improve international tax compliance and to implement the U.S. Foreign Account Tax Compliance Act (the **IGA**), if the applicant is a "passive NFFE," as indicated on the IRS Form W-8BEN-E or other appropriate IRS Form W-8 (the **IRS Form**) furnished to the Company, it must provide the additional certifications requested below in lieu of completing the "substantial U.S. owner" certifications otherwise required by the IRS Form. Any certifications provided by the applicant pursuant to this Annex IV remain subject to the penalty of perjury statement and other certifications made by the applicant in the IRS Form provided to the Company.

Please check box a or b, whichever applies:

- a The applicant certifies that it has no Controlling Persons (as defined below) who are individual citizens or residents of the United States, or
- b The applicant certifies that it has Controlling Persons who are individual citizens or residents of the United States and has provided the name, address and U.S. taxpayer identification number (**TIN**) of each such person below.

U.S. Controlling Persons of Passive NFFE		
Name	Address	TIN

The term "Controlling Persons," as defined in the IGA and used herein, means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.