

## Useful information for investing in the Laurium Africa USD Bond Fund - Individuals

### When to use this form

This account opening form is applicable to prospective investors who would like to invest their funds in the Laurium Africa USD Bond Fund.

Once a signed account opening Form and full AML Due Diligence Documentation is received by Prescient Fund Services (Ireland) Limited (the "Manager"), will send the account number confirmation to the authorised contact(s) along with a separate subscription form, upon which you can then place dealing instructions.

### Contact details

Transfer Agency: [TA@Prescient.ie](mailto:TA@Prescient.ie)  
FA / NAV: [info\\_shared@prescient.ie](mailto:info_shared@prescient.ie)  
Tel: +353 1 676 6959  
Fax: +353 1 686 5064  
Website: <https://www.prescient.ie/>

### Cut off and timelines for Trades

- All complete and valid instructions received **before 10:00** on a business day will be processed for that NAV date on T+1
- Complete and valid instructions received **after 10:00** will be processed on the next available NAV date
- Confirmed cleared funds must be received by the Subscription Dealing Deadline (**T Settlement**)

### Useful information

- Before investing, please carefully read the Terms and Conditions of this investment (attached hereto), as well as the Prospectus of Prescient Global Funds ICAV (the "Company") and Supplement for the Sub-Fund (together the "Prospectus") which can be obtained from <https://www.prescient.ie/media-literature/prescient-global-funds-icav-documents/>
- Please complete all relevant sections of this account opening form and send with the required supporting documents to [TA@Prescient.ie](mailto:TA@Prescient.ie) or fax to +353 1 686 5064
- Once an account opening form has been completed, **and an investor number has been confirmed back to you**, you can place trades using the subscription form. Trades submitted before the account opening stage has been completed will be rejected. Subscription monies must be received as cleared funds by the Manager before the deadline specified in the Prospectus. Any subscriptions and/or cleared funds therefore received after the deadline will be held over until the next Dealing Day
- Payments can only be accepted from an account in the name of the investor and redemption monies will only be remitted to an account in the name of the investor, the Manager will not action any third-party payments
- The fund price is calculated on a net asset value basis, which is the total value of all assets in the portfolio including any income and expense accruals
- The Manager may, upon receipt of the account opening form, request further documents and information as the Manager, in their sole discretion, require to meet obligations in terms anti-money laundering legislation

### Document checklist and supporting documents

- Completed account opening form
- Anti-Money Laundering and Counter Terrorist Financing Documentation
- Self-certification for Tax purposes

### Definition of entities referred to in this document

- Prescient Global Funds ICAV, is an open-ended umbrella investment company registered in Ireland (the "**Company**")
- The Laurium Africa USD Bond Fund is a sub-fund of Prescient Global Funds ICAV
- Prescient Fund Services (Ireland) Limited (the "**Manager**"), is the Manager of the Company
- Laurium Capital (PTY) Ltd (the "**Investment Manager**"), is the Investment Manager of the Laurium Africa USD Bond Fund and is authorised and regulated by the FSCA in South Africa

## Anti-Money Laundering – Documentation to be submitted

Copy of current Passport

- Two copies of proof of address, dated within the last six months
- Completed FATCA / CRS Self Certification (contained within this document)
- Confirmation of the Source of Funds for the Investment (contained in Section D of this document)

Examples of Acceptable Proof of Address for Verification purposes:

- Bank statements
- Utility Bill
- Correspondence from local authorities
- Correspondence from the Revenue Commissioners

# Laurium Africa Account Opening Form - Individuals

## A CONTACT PERSON FOR OUTSTANDING REQUIREMENTS

Name and surname

Telephone number  Email

Capacity

## B PERSONAL DETAILS OF INVESTOR

Title  Surname

First name(s)

Date of birth  Identity or passport number

Country of birth  Country where passport issued

Gender Male  Female

Nationality Irish  Other (Please specify)

Tax number

Occupation (Compulsory)

Physical address

Postal code

Postal address

Postal code

Telephone number (home)  Telephone number (work)

Cell phone number  Fax

Email address (Compulsory)

## C ACTING ON BEHALF OF THE INVESTOR

### C1. Legal guardian, parent, persons acting on behalf of investors

Title  Surname

First name(s)

Identity or passport number  Relationship to Investor

### C2. Mandate for dealing with the discretionary FSP acting on behalf of the investor. Please send us a copy of the signed mandate.

#### **N.B. Only applicable to South African Investors**

I have entered into a discretionary mandate with a FAIS category II FSP.

Full  Limited

I authorise the Manager to accept instructions submitted by the FSP on my behalf.

Yes  No

## D SOURCE OF FUNDS

### Source of funds for this investment (compulsory)

Salary  Savings  Business  Client Monies  Other

## E1 BANK DETAILS FOR INVESTOR (NO THIRD-PARTY PAYMENTS ALLOWED)

Please complete the bank account details which relate to this instruction

Account Holder Name

Bank

Account number

Branch

SWIFT code

### Type of account

Current  Savings  Transmission

## E2 BANK DETAILS FOR CORRESPONDENT/INTERMEDIARY (IF APPLICABLE)

A Correspondence bank acts as a point of contact for another bank in a country or state where the second bank does not have a branch or agency

Correspondent bank name

Bank address

Swift/BIC code

Branch name/  
Sort code

Account name

Account number

### Signature of account holder

- **A bank statement must be attached as proof of banking details**
- **The onus is on the investor to inform the Company of any changes to the bank account details. A call back will be completed to verify the legitimacy of the request before any details will be updated**
- **All payments will be made in the currency of the fund as provided for in the Prospectus**
- **No payments will be made into third party bank accounts or credit card accounts. (i.e. payments will only be made to the bank account in the name of the registered investor)**

## F ANTI-MONEY LAUNDERING AND COUNTER TERRORIST FINANCING REQUIREMENTS

Measures aimed towards the prevention of money laundering and terrorist financing require a detailed verification of the investor's identity. All investors are therefore required to submit the minimum documentation as set out in the "Anti-Money Laundering – Declarations & Documentation to be submitted" section of this document, with the initial subscription in the Company.

The Company and the Manager may require further information and may make any further enquiries they deem necessary to comply with the relevant anti-money laundering/counter terrorist financing laws, before the Account Opening can be processed and the Company shall be held harmless and indemnified against any loss arising due to the failure to process this Account Opening if such information as has been required by the parties hereto has not been provided. In such case or delay or failure to provide satisfactory information, the Company may take such action as they see fit.

### **Approved Jurisdictions (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**

Australia, Austria, Argentina, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Guernsey, Hong Kong, Ireland, Isle of Man, Israel, Italy, Japan, Jersey, Luxembourg, Malaysia, Netherlands (including Aruba, Curacao and Sint Marten), New Zealand, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom and United States.

'Designated Bodies' includes entities such as banks, building societies, investment companies and other financial institutions.

'Certified Copy' The certification of all documents must be carried out by any of the following; a police officer, practising chartered and certified public accountant, notaries public, practising solicitor, embassy and consular staff and your Bank if authorised and regulated in the one of the above approved jurisdictions.

**Please indicate if the Investor is:**

		<b>Please tick as appropriate</b>
A	A Designated Body in an approved jurisdiction (Proof of registration of Investor with corresponding regulator in approved jurisdiction)	<input type="checkbox"/>
B	Is an individual and subscription monies originate from an account in the name of the Investor with a bank in an approved jurisdiction	<input type="checkbox"/>
C	Is not a Designated Body and that the subscription monies do NOT originate from an account in an approved jurisdiction	<input type="checkbox"/>

## G INVESTOR DETAILS

### A: Resident outside of Ireland

An Investor resident outside Ireland is 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").

Please tick the relevant option applicable to you and delete as appropriate where marked with an \*:

1. 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 Resident or Ordinarily Resident in Ireland, and
- Should I/we/the company\* become Resident in Ireland I will/we will\* so inform you, in writing, accordingly.

Or

2. Declaration as Intermediary

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

- Who will be beneficially entitled to the Shares; and,
- Who, to the best of my/our\* knowledge and belief, are neither Resident nor Ordinarily Resident in Ireland.

I/we\* also declare that:

- unless I/we\* specifically notify you to the contrary at the time of Application, all Applications for Shares made by me/us\* from the date 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\* holds Shares, becomes Resident in Ireland.

#### IMPORTANT NOTES

- Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the Investor. Where there is more than one Investor, each person must sign. If the Investor is a company, it must be signed by the company secretary or another authorised officer.
- If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

**Please note:** If the Applicant is an "Exempted Irish Investor", they should contact the Company (or the Manager) who will provide them with the appropriate declaration which must be made to confirm their status.

### B. Investor Resident in Ireland

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

Please tick the relevant option applicable to you and delete as appropriate where marked with an \*:

1. 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\* currently Resident or Ordinarily Resident in Ireland, and
- Should I/we/the company\* cease to be Resident in Ireland I will/we will\* so inform you, in writing, accordingly.

Or

2. Declaration as Intermediary

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

- Who will be beneficially entitled to the Shares; and,
- Who, to the best of my/our\* knowledge and belief, are Resident and Ordinarily Resident in Ireland.

I/we\* also declare that:

- unless I/we\* specifically notify you to the contrary at the time of Application, all Applications for Shares made by me/us\* from the date 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\* holds Shares, ceases to be Resident in Ireland.

I confirm that [I am]/[the investor is] an Irish resident or ordinarily Irish resident for tax purposes and [my]/[its] PPS number is as follows:

**Any one of the following additional documents is required to verify the TIN (Tax Identification Number) or PPSN (Personal Public Service Number) either a copy or the original is sufficient:**

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

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

*Your personal information will be handled by the Company or its duly appointed delegates in accordance with the Data Protection Legislation. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.*

**Declaration of Residence within Ireland - Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997**

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

**Additional documents will be required for declarations on behalf of the following:**

A pension scheme, A company carrying on life business within the meaning of section 706 TCA 1997, An investment undertaking, A special investment scheme,

A unit trust to which section 731(5) (a) TCA 1997 applies, A charity being a person referred to in section 739D(6)(f)(i) TCA 1997, A qualifying management company, A specified company, Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 7871 of the TCA 1997, (see further requirements for Qualifying Fund Manager below), A credit union to which Section 2 of the Credit Union Act, 1997 applies.

## **H INVESTOR DECLARATION**

By signing this application form below:

### **General**

- I/we acknowledge that this Application is subject to, and shall be governed by, the laws of Ireland.
- I/we declare that each Investor is over the age of 18, and that I/we agree to accept the number of shares allotted in respect of this Application.
- I/we hereby irrevocably apply for such number of shares (including fractions) at a price determined in accordance with the Prospectus.
- I/we warrant that I/we are duly authorised to sign this Application Form and to subscribe for or redeem shares in the Company and that by subscribing for, holding or redeeming shares in the Company I/we am/are not in breach of any laws or regulations of any competent jurisdiction.
- I/we acknowledge that the Company reserves the right to reject any application in whole or in part.
- I/we agree to notify the Company immediately if I/we become aware that any of the representations are no longer accurate and complete in all respects and agree immediately to sell or to tender to the Company for redemption a sufficient number of shares to allow the representation to be made.
- I/we acknowledge that any delay by me in providing documentation may result in delayed processing of my application and/or delayed payment of any future redemption payments to me or processing of share transfer requests on my behalf.
- I/we warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for offence or otherwise.
- I/we confirm I/we have read, understood and retained a copy of the Key Investor Information Document (KIID).
- I/we confirm I/we have received and considered a copy of the Prospectus, and hereby confirm that I/we have understood the Prospectus and that this Application is based solely on the Prospectus and material contracts referred to therein together (where applicable) with the most recent annual report and accounts of the Company and the Memorandum and Articles of Association.
- I/we hereby undertake to observe and be bound by the provisions of the Memorandum and Articles of Association (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.
- I/we agree to provide to the Company, at such times as it may request, such declarations, certificates or documents as it may reasonably require in connection with this investment. Should any information furnished to it become inaccurate or incomplete in any way, I/we agree to notify the Company immediately of any such change and further agree to request the redemption of shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company.
- I/we acknowledge that I/we will indemnify and hold the Company harmless against any loss, liability, cost or expense (including without limitation attorneys' fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any other document delivered by me to the Company and shall notify the Company if any of the representations herein made are no longer accurate and complete in all respects.
- I/we confirm that the Company is authorised and instructed to accept and execute any instructions in respect of the shares to which this Application relates given by me in written form or by fax, e-mail or other electronic notification (as approved by the Company) and I/we indemnify the Company and agree to keep it indemnified, against any loss of any nature whatsoever arising to it as a result of it acting on such instructions. The Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/we acknowledge the onus is on me/us to ensure that such instructions are received in legible form.
- I/we understand that the tax disclosures set forth in the Prospectus are of a general nature and may not cover the jurisdiction in which I/we am/are subject to taxation and that the tax consequences of my/our purchase of shares depend on my/our individual circumstances.
- I/we declare that I/we am/are aware of the requirement to complete and submit the "self-certification" regarding tax residency document.
- I/we declare that I/we am/are aware that the self-certification form and the information contained therein, forms part of this Application.
- I/we hereby authorise investigation of my/our identity, and agree to an enhanced ongoing monitoring should I/we be deemed to be politically exposed. Politically exposed persons are defined as "natural persons who are or have been entrusted with prominent public functions within the past year, as well as immediate family members, or persons known to be close associates, of such persons.
- The Company may rely inclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or any other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- I/we understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of shares in the Company.
- I/we understand, acknowledge and agree that the anti-money laundering ("AML") and customer due diligence ("CDD") documents and information provided in connection with the investment may be shared and used by the Company and /or any of its affiliates in connection with my/our application for and / or holdings of shares / units in any other sub-funds of the Company and / or to ensure that Company and/ or its affiliates can comply with their own obligations under applicable AML legislation.

- I/we acknowledge that any notice or document may be served by the Company on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I/we have provided an e-mail address or fax number to the Company or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Company or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I am/we are not obliged to accept electronic communication and may at any time choose to revoke the agreement to receive communications by fax or electronically by notifying the Company in writing at the above address provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.
- I/we have evaluated the risks of investing in the Company and to make an informed decision with respect thereto and I am/we are aware of the risks inherent in investing in the shares and the method by which the assets of the Company are held and/or traded; and I/we can bear the risk of loss of my/our entire investment.
- I/we understand and agree that the Company prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organizations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time, (iii) for a senior foreign political figure, any member of a senior foreign political figure's immediate family or any close associate of a senior foreign political figure, unless the Fund, after being specifically notified by me/us in writing that it is such a person, conducts further due diligence, and determines that such investment shall be permitted, or (iv) for a foreign shell bank (such persons or entities in (i) - (iv) are collectively referred to as "Prohibited Persons").
- I/we represent, warrant and covenant that I am/we are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person.
- I/we confirm that the Financial Advisor whose details appear in this document is my/our appointed advisor and that I am/we are aware and have agreed to any remuneration payable.

#### Data Protection

I/We consent to:

- In accordance with the provisions of the Irish Data Protection Acts 1988 and 2003, and the Data Protection Act 2018 as may be amended, updated or repealed from time to time and in accordance with the General Data Protection Regulation (697/2016/EU) (the "GDPR") (collectively the "Data Protection Legislation"), I/we acknowledge and are informed that personal data given in this Investment Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Company, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "Personal Data"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Company as a "data controller" under the Data Protection Legislation, and as further described in the Company's data protection notice, which is set out at Appendix 4 below and is otherwise available upon request.

#### FATCA and the Common Reporting Standard (CRS)

- I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.
- Furthermore, I/We hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by
  1. the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein; or
  2. any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.
- In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company or its agents the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company immediately of any such change and further agree to immediately take such action as the Company may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company or its agents. If relevant, I/we agree to notify the Company or its agents of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company and its agents against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and its agents are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company and its agents against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.
- I/We confirm that we have accurately and correctly completed the relevant self-certification form. I/ We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company immediately of any such change and agree to immediately take such action as the Company may direct, including where appropriate, redemption of our Shares.
- I/We confirm that we have read, understood and consent to the "Customer Information Notice – Common Reporting Standard" which appears in the Terms and Conditions section at the end of this Application.

Signed at

Date

Name of Signatory 1

Signature

**Name of Signatory 2**

**Signature**

**Name of Signatory 3**

**Signature**

**Signature of investor's authorised representative\* (if applicable)**

**\* If signing on behalf of the investor, please remember to provide proof of authority and supporting verifying documentation.**

## **I COMPLAINTS PROCESS**

- Please do not hesitate to contact us if you are not satisfied with this investment or the services received from the Manager. A complaint must be submitted to the Compliance Officer. The Manager will acknowledge the complaint in writing and will inform the investor of the contact details of the persons involved in the resolution thereof. Should you wish to lodge a complaint regarding the services being provided, an e-mail can be sent to [complaints@prescient.ie](mailto:complaints@prescient.ie) or alternatively you can obtain our complaints policy from the compliance department ([Compliance@Prescient.co.za](mailto:Compliance@Prescient.co.za))
- If an investor is not satisfied with the final response from the Manager or if a complaint has not been fully resolved within 40 business days of it being received, he/she has the right to address his/her complaint in writing to the Financial Services Ombudsman at the address below. The Financial Services Ombudsman is legally empowered to investigate and adjudicate complaints in a procedurally fair, economical and expeditious manner.

**Contact details (Ombudsman)**

Email address: [info@fspoi.ie](mailto:info@fspoi.ie)

Tel: +353 1 567 7000

Postal Address: Lincoln House, Lincoln Place, Dublin 2, D02 VH29



# INDIVIDUAL SELF-CERTIFICATION FOR FATCA AND CRS

## Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003 and the Data Protection Act 2018. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or 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.htm> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

For further guidance see:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

## A INVESTOR IDENTIFICATION

Investor name

Current residential address

Postal code

Postal address (if different to above)

Postal code

Town or city of birth

Country of birth

Date of birth

## B FATCA DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES

Please tick one of the options below and complete as appropriate

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

I confirm that I am not/the investor is not a U.S. citizen or resident in the U.S for tax purposes

## C CRS DECLARATION OF TAX RESIDENCY (PLEASE NOTE YOU MAY CHOOSE MORE THAN ONE COUNTRY)

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

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

Country / Countries of tax residence	Tax Identification Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

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

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

If a TIN is unavailable, please tick the appropriate box as follows;

- Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason B – The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)
- Reason C – No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**D 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.

I give full consent to receiving this information and the Prospectus, latest annual and semi-annual reports and other information by means of electronic communication.

Authorised signature	<input type="text"/>
Print name	<input type="text"/>
Date	<input type="text"/>
Capacity	<input type="text"/>

**Data Protection - Customer Information Notice:**

The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the automatic exchange of information (AEOI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

The standard requires that Financial Institutions in participating jurisdictions gather certain information from account holders (and, in particular situations, also collect information in relation to relevant Controlling Persons of such account holders).

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

Information that may be reported includes name, address, date of birth, place of birth, account balance, any payments including redemption and dividend/interest payments, Tax Residency(ies) and TIN(s).

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>  
And on the Irish Revenue website: <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

# DATA PRIVACY STATEMENT

As a consequence of your investment, the Company acting as a data controller may itself (or through third parties including but not limited to the Manager together with any distributor or sub-distributors that may be appointed from time to time (collectively the "Distributor"), local paying agents and mailing firms appointed by any of the foregoing (together the "Service Providers")) process your personal information or that of your directors, officers, employees, intermediaries and/or beneficial owners.

Please contact the Data Protection Officer should you wish to obtain information concerning the Service Providers.

In this regard, please note the following:

## Purposes of Processing and Legal Basis for Processing

The personal data collected from you or provided by you or on your behalf in connection with your holdings in the Company will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Company for the purpose of:

- (i) managing and administering your holdings in the Company and disclosure to third parties (such as auditors, regulatory / tax authorities), in order to ensure the due performance of the contract between the Company and you.
- (ii) complying with any legal, tax or regulatory obligations under Company law / tax law and under anti-money laundering / counter terrorist financing legislation, in order to ensure compliance with a legal obligation to which the Company is subject.
- (iii) for the purpose of recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Company and its Service Providers or for otherwise pursuing the legitimate interests of the Company.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims. Further information relating to the balancing test undertaken by the Company to rely on legitimate interests as a grounds in respect of such processing is available upon request.**

## Disclosures to Service Providers and / or Third Parties

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by and disclosed by Service Providers appointed by the Company and its or their duly appointed agents and any of related, associated or affiliated companies within the Prescient Holdings (Pty) Ltd group of companies ("Prescient Group") for the purposes specified above. These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The Company and the Manager may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities, Auditors and technology providers.

## Profiling and Screening

The Company and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union ("EU"), the United Nations ("UN"), Her Majesty's Treasury ("HMT") and the Office of Foreign Assets Control ("OFAC") for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes. The implementation of such PEP screening and financial sanctions screening programmes may result in the Company or its Service Providers refusing an application for Shares in the Company or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your Shares appear on such screening programmes. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Company or its Service Providers.

## Undertaking in connection with other parties

By providing personal data to the Company, you undertake to be authorised to disclose to the Company relevant information applicable to the beneficial owner of the investment, to your directors and authorised signatories and to persons that own, directly or indirectly, an interest in the Company. In this respect you confirm that you have provided these persons with all the information required under applicable data protection law, notably regarding their data protection rights, and received from these persons their authorisation for the processing and transfer of their personal data to us.

## Transfers Abroad

Personal data collected from you or provided by you or on your behalf may be transferred outside of Ireland including to companies situated in countries outside of the European Economic Area ("EEA") which may not have the same data protection laws as in Ireland. Such non-EEA countries comprise South Africa where the Company's IT infrastructure is maintained, which has their own stringent data protection laws in place.

Where data transfers outside of the EEA take place, the Company and/or the relevant Service Provider have taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, including entering of data protection model agreements between the Company and its Service Providers in accordance with the requirements of GDPR.

Please contact the Data Protection Officer should you wish to obtain information concerning such safeguards.

## Data Retention Period

The Company and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Company for such period of time as may be required by Irish legal and regulatory requirements, being at least six years after the period of your investment has ended or the date on which you had your last transaction with us.

## Your data protection rights

Please note that you have the following rights under the GDPR. In each case, the exercise of these rights is subject to the provisions of the GDPR:

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, if you consider that the processing of personal data relating to you carried out by the Company infringes the GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).

- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.
- (vii) You also have the right to object to processing where personal data is being processed for direct marketing purposes and also where the Company or a Service Provider is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Company, please contact [dataprotection@prescient.ie](mailto:dataprotection@prescient.ie).

The Company or its Service Provider will respond to your request to exercise any of your rights under the GDPR in writing, as soon as practicable and in any event **within one month** of receipt of your request, subject to the provisions of the GDPR. The Company or its Service Provider may request proof of identification to verify your request.

#### **Failure to provide personal data**

As outlined in the section titled "Purposes of Processing and Legal Basis for Processing", the provision of personal data by you is required for us to manage and administer your holdings in the Company. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you and/or may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Company.

## **TERMS AND CONDITIONS**

### **GENERAL**

- To be valid, the Application Form (incorporating the Declaration required by the Irish Revenue Commissioners) must be completed by the investor.
- Where there is more than one Investor, each person must sign. If this Application Form is signed by any Investor under power of attorney, such power of attorney or a duly certified copy thereof must accompany this Application Form.
- If the Investor is a company, the Declaration must be signed by the Company's Secretary or an authorised officer and a list of authorised signatories must accompany this Application Form.
- This Application Form and required documentation must be received together with cleared funds before the dealing deadline on the Relevant Dealing Day.
- Subscription amounts must be received by the Company in the subscription account of the Company as cleared funds. Any applications and/or cleared funds therefore received after the dealing deadline on the Relevant Dealing Day will be held over until the next Dealing Day.
- The dealing deadline for redemption requests is as per the Prospectus on the Relevant Dealing Day.
- Redemptions will not be processed on non-cleared/verified accounts.
- No redemption payment may be made until all documentation required by the scheme and anti-money laundering and counter terrorist financing procedures have been completed.

### **APPLICABLE IF APPOINTING A FINANCIAL ADVISER**

- The Company will only accept applications, submitted on behalf of investors, from IFA's who have been granted a licence by the regulating authority of the country in which the service is being rendered to the investor.
- The Company cannot be held responsible or liable for loss or damage suffered by the investor as a result of the IFA acting outside his / her licence parameters or because of delays in the processing or rejection of this application form, caused by the fact that the investor's IFA is not authorised as per 1 above.
- The IFA is responsible for ensuring that the investor receives and understands all appropriate advice, product and fee information including changes in the working practices and procedures of the Company.

### **FEES**

- The fees that apply to this investment are set out in the Prospectus.
- All fees may be amended by the Company from time to time, and in such event, a notification will be sent to the investor.
- The annual fee is the fee you pay to the Company for managing the portfolios, which may include both Management and Investment Management Fees.

### **RISK WARNING**

Shares/Collective investment schemes are generally medium- to long-term investments. The value of shares may go down as well as up and past performance is not necessarily a guide to the future. Collective investment schemes are traded at ruling prices and can engage in borrowing and scrip lending. A schedule of fees, charges and maximum commissions is available on request from the manager. Commission and incentives may be paid and if so, are included in the overall costs. There is no guarantee in respect of capital or returns in a portfolio. Daily forward pricing is used. A Prospectus is available from the Company. Fluctuations or movements in exchange rates may cause the value of the underlying international investments to go up or down.

### **CUSTOMER INFORMATION NOTICE - COMMON REPORTING STANDARD**

The Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Company is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Investor's tax arrangements.

Please note that in certain circumstances the Company may be legally obliged to share this information and other financial information with respect to an Investor's interests in the Company with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the Company to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Company:

- The name, address, jurisdiction of residence, tax identification number and date and place of birth, in the case of an individual, of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number).
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account.
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period.
- The currency in which each amount is denominated.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the Company) may adopt the "wider approach" for CRS. This allows the Company to collect data relating to the country of residence and the tax identification number from all non-Irish resident Investors.

The Company can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3-year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants and Investors can obtain more information on the Company's tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only: <http://www.oecd.org/tax/automatic-exchange/>.

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard and EU Council Directive 2014/107/EU (as applicable).