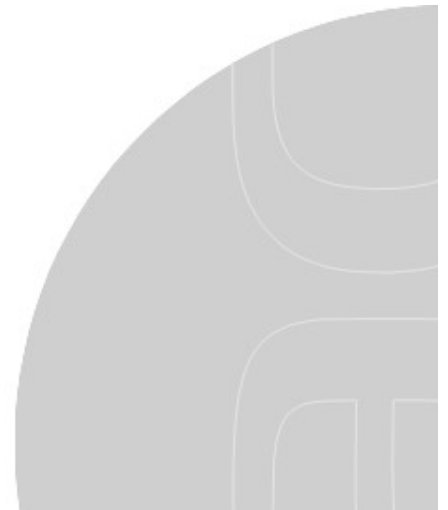




Application Form

Retail Investors





How to use this Application Form

To open your register account with CACEIS, please provide the Account opening form (Part 1) and the Fund introduction form (Part 2).

For any new subscription (i.e. if you already have a register account opened with CACEIS), please provide only the Fund introduction form (Part 2).

Part 1: Account opening form

In order to open your register account with CACEIS, please fill in the following:

- My personal details
- My banking details
- My tax details
- My reporting details
- My mandatory documentation
- My representation
- Terms and conditions

Part 2: Fund introduction form

- Account holder identification
- Source of wealth
- Fund identification
- KIID declaration
- PRIIPS declaration
- SIF, RAIF or SICAR declaration
- General Data Protection Regulation (697/2016/EU) (the “GDPR”) declaration
- Professional secrecy declaration

Part 3: GDPR Data Privacy Notice



Part 1: Account opening form

Please send the original documents to **CACEIS Bank, Luxembourg Branch, Fund Distribution Department at 5, allée Scheffer L-2520 Luxembourg** and the electronic copies by email to FDS-investor-services@caceis.com

IMPORTANT: Please ensure to complete all fields that are marked with an asterisk (* mandatory field) and fill in the form in BLOCK CAPITALS.

My personal details

Account holder

Identity information

Last name* Maiden name*

First name*

Birth country* Birth place* Birth date*

Passport No. / ID card No. * Please indicate the document type ID card / Passport: Nationality*

Profession* (if retired, please specify last profession or occupation before retirement) (if director, please specify the name of the entity)

Residential address (permanent residence)

Street/No. * (P.O. Boxes are not permitted)

City* Postal code* Country*

Contact details

Telephone number (home) Telephone number (mobile)* Email*

Source of wealth

Select* savings property income professional activity inheritance Other :



Co-holder

You are acting as either*:

Co-holder of the joint account¹

or

Co-holder of the common account²

Identity information

* Last name*

Maiden name*

First name*

Birth country*

Birth place*

Birth date*

Passport No. / ID card No. * Please indicate the document type:

ID card / Passport

Nationality*

Profession* (if retired, please specify last profession or occupation before retirement) (if director, please specify the name of the entity)

Residential address (permanent residence)

Street/No. * (P.O. Boxes are not permitted)

City*

Post code*

Country*

Contact details

Telephone number (home)*

Telephone number (mobile)*

Email*

Source of wealth

Select*

savings property income professional activity Inheritance Other :.....

Guardian/Legal representative³

Identity information

First name*

Last name*

Birth country*

Birth place*

Birth date*

Passport No. / ID card No. * Please indicate the document type:

ID card / Passport

Nationality*

Profession* (if retired, please specify last profession or occupation before retirement) (if director, please specify the name of the entity)

¹ Bank account in the name of two or more natural persons (account owners) for which at least one account owner must sign the application form and any attached document.

² Bank account in the name of two or more natural persons (account owners) for which each account owner must sign the application form and any attached document.

³ Person or legal entity who is legally responsible for the care and management of a person and/or his/her property to the extent that such person has been declared incompetent by a Court or is a minor in accordance with the Grand-duchy laws and regulations



Residential address (permanent residence)

Street/No. * (P.O. Boxes are not permitted)

City*

Post code*

Country*

Contact details

Telephone number (home)*

Telephone number (mobile)

Email*

Link with the account holder / co-holder:



My banking details

Please complete your bank details and ensure the bank account is in the name of the Investor, as we are not permitted to process third party payments. Redemption proceeds and dividends will be paid to the account below for any currency. CACEIS will be unable to open your account if standard payment instructions are not provided.

Bank account 1 (* mandatory)

Bank name*

Swift/BIC (Bank Identification Code) *

Bank address*

Account holder(s)*

Please complete at least one of the following settlement currency *:

EUR payment

Account number/IBAN:

USD payment

Account number/IBAN:

GBP payment

Account

Select either:

JPY

CHF

HKD

Account

Bank account 2 (optional)

Bank name*

Swift/BIC (Bank Identification Code) *

Bank address*

Account holder(s)*

Please complete at least one of the following settlement currency *:

EUR payment

Account

USD payment

Account number/IBAN:

GBP payment

Account

Select either:

JPY

CHF

HKD

Account

Note:

- In case of banking details changes, you must notify such a change prior to any instruction relating to a redemption and/or dividend payments. Otherwise, such payments will be transferred to the former banking details.
- The bank account details provided must be for an account held in the Investor's name. We cannot accept or execute third party payments (payments to another party other than the Investor(s) are not permitted).
- Please provide only one bank account per currency.
- For additional payment instructions, please provide banking details on a separate document.

Dividend policy

Please tick the box if you wish to have dividends reinvested, otherwise dividends will be automatically paid out to your bank account.

Mandatory documentation

For compliance purposes, you are required to provide the following documentation:

- Certified Copy of a valid ID card/Passport (see definition of Document Certification in the Terms and Conditions in the next page)
- A proof of residential address: (e.g.: utility bill, bank statement, residence certificate) - dated less than 6 months

- Source of wealth (for an investment above €150 000), please provide a certified copy of the most appropriate supporting document(s): e.g. portfolio statement (from your broker/bank), notary act, income tax document.
- FATCA documentation (i.e. GIIN or W9 Form, please refer to the section below).
- AEOI documentation (If applicable)

Please note that according to our analysis, Caceis Bank, Luxembourg Branch reserves the right to request any additional documentation.



My tax details

The Tax Regulations⁴ currently in force require the collection (via a specific self-certification) of additional information from Investors, such as the tax residency, the tax classifications and the citizenship status. You are legally required to complete and provide this tax form upon an account opening. Specific tax conditions can be found in the Fund's prospectus.

For any question regarding Tax Regulations, please contact your tax adviser or the competent tax authorities.

Please fill in all the appropriate sections below and if there is any change in circumstances, provide an updated self-certification including such changes within 30 (thirty) days following the said change of circumstances. You declare that the information provided is to the best of your knowledge and belief, accurate and complete.

Foreign Account Tax Compliance Act (FATCA)

For further information on this regulation (e.g. definitions), please go to the official website:

<https://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>

Under FATCA, you are required to declare if you are a **US PERSON**⁵ or a **Non-US PERSON**. Please tick the box(es) as appropriate:

| | Account Holder | Co-Holder |
|---|--------------------------|--------------------------|
| I am a US Person | <input type="checkbox"/> | <input type="checkbox"/> |
| or | | |
| I am not a US Person, and | <input type="checkbox"/> | <input type="checkbox"/> |
| I have no US Bank account(s) | <input type="checkbox"/> | <input type="checkbox"/> |
| I have no address within the US territory | <input type="checkbox"/> | <input type="checkbox"/> |
| I have no US phone or fax number | <input type="checkbox"/> | <input type="checkbox"/> |
| I have no power of attorney with an address within the US territory | <input type="checkbox"/> | <input type="checkbox"/> |
| I am not born in the US | <input type="checkbox"/> | <input type="checkbox"/> |

If you are a US PERSON, then you are required to provide CACEIS with a **W9 Form** duly filled out and signed in accordance with the principles of the US Tax laws.

If you are not a US PERSON:

- If you are not a US PERSON but you did not tick all the boxes above, then you are required to provide CACEIS with a **W8 form** duly filled and signed in accordance with the principles of the US Tax laws. (Please note that if you are born in the USA, you are also required to provide a US nationality renunciation certificate to attest your Non-US status. Should you not be in the capacity to provide a US nationality renunciation certificate, then you need to provide a W9 Form.)
- If you are not a US PERSON and you ticked ALL the above boxes above, then you are not required to provide any further documentation for FATCA identification purposes.

Automatic Exchange of Information for the Common Reporting Standard (AEOI-CRS) under the Organisation for Economic Co-operation and Development (OECD)

For further information on this regulation (e.g. the definitions), please go to the official website: <http://www.oecd.org/tax/automatic-exchange/>

Tax residency and other information below is required for AEOI-CRS purposes. Please indicate the country in which you are resident for tax purposes as well as the associated Tax Identification Number (TIN):

| | Account Holder | Co-Holder |
|---|----------------|-----------|
| Country of residence for tax purposes | | |
| Tax Identification Number | | |
| If the TIN is unavailable, please explain the reason: | | |

If the individual has additional tax residence country(ies), please provide:

- *such additional tax residence country(ies) and TIN(s) on a separate sheet (duly signed, dated with the last and first names of the authorised signatory); and*

⁴ The term "Tax regulations" refers to regulations created to enable Automatic Exchange Of Information (AEOI). It is not limited but includes the Foreign Account Tax Compliance Act (FATCA) contained in the US Hire Act 2010 and the Common Reporting Standard (CRS) approved by the Organisation for Economic Co-operation and Development (OECD) Council on 15 July 2014 for automatic exchange of financial account information.

⁵ A U.S. Person is defined as a natural person resident of the U.S., a corporation, partnership or other entity created or organized in or under U.S. laws, or any person falling within the definition of the term U.S. Person under Regulation S promulgated under the U.S. Securities Act of 1933, as amended, or under Rule 4.7 under the U.S. Commodity Exchange Act, as amended.



- documentary evidence (e.g. certificate of residence, tax income document) for each additional country in which the individual is resident for tax purposes.

Account opening and subscriptions are not authorised if you do not provide the above mentioned tax information.

I acknowledge that the information contained in this Account Opening Form (and especially in this tax form and all other required tax information such as the account balance, the amount of revenue and sale proceeds paid or credited to the Financial Account) may be reported to the competent tax authorities, if required.

My reporting details

As account holder(s), you will be entitled to receive the following documents:

- Contract notes (upon transaction);
- Dividend notification (upon transaction);
- Acknowledge notification (upon transaction);
- Statement of your holdings (the selected media hereunder will determine the frequency of receipt of the statement of your holdings as described here: e-mail is monthly, fax is monthly, post-mail is annually).

Select* the media for the receipt of such documents (must check one box only):

E-mail: same as the e-mail mentioned in personal details section.

OR

Fax:

OR

Post-mail, select: Same as the permanent address mentioned in personal details section.

Different address:

Select one preferred reporting currency*

USD EUR GBP JPY CHF HKD

Select one preferred language*

English Mandarin Chinese Spanish French German Italian

Note:

By signing this document you accept that the information referred above shall be provided to you via a standard unsecured e-mail and that CACEIS will not be held responsible for any potential interception of this information for harmful or fraudulent use.

My representation

I/We declare that:

- the Account Opening form has been read and filled in accordingly.
- I am/We are aware that the Transfer Agent and Prime Transfer Agent assume no liability for failure or delay to process an order as a result of incomplete or inaccurate information presented by the subscriber in this Application form.
- I/we will inform the Transfer Agent of any changes in the information provided in this Application form.
- I/we accept the Terms and Conditions and I/We have read and understood such terms and conditions.
- I am/we are duly authorised to sign this Account Opening form.
- the invested funds were not derived from illegal activities as described under the recommendations issued by the Financial Action Task Force on Money Laundering (FATF) and that invested funds are declared to the local fiscal authorities.
- I/we am/are aware of the tax obligations relating to the detention of shares / units in the funds in which I/we hereby invest in, towards the competent tax authorities.
- I/we declare that I/we am/are aware of my/our responsibility for fulfilling all tax obligations towards the reference and/or competent authorities. In order to determine the scope of my obligations, it is therefore my responsibility to obtain any assistance from qualified independent advisors if I believe this to be necessary.
- the investment(s) is/are made on my/our own benefit.



As the Account Holder(s) or as the authorised signatory(ies) (provide the certified copy of the power of attorney), I/We hereby sign this Account Opening form.

1st signatory*

| Date | Place | Signature |
|----------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | |
| <input type="text"/> | <input type="text"/> | |

2nd signatory* (if a second signatory)

| Date | Place | Signature |
|----------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | |
| <input type="text"/> | <input type="text"/> | |



Terms and conditions

Compliance documentation

As required by the prospectus of the Fund(s) and the local applicable laws, particularly as concerns the prevention of money laundering during application, the application form must be accompanied by documents that will allow CACEIS Bank, Luxembourg Branch (acting in its capacity as Transfer Agent and/or Prime Transfer Agent) to identify the account holder and, if applicable, all underlying beneficial owners of the investment.

Subsequent subscriptions of shares/units in the Fund(s) shall not require the subscriber to provide again CACEIS Bank, Luxembourg Branch with the identification documents, to the extent that the Investor's situation remains unchanged since the initial or previous subscriptions.

Notwithstanding the foregoing, the account holder may be requested to provide additional or updated identification documents from time to time pursuant to on-going due diligence requirements under relevant laws and regulations.

In case of delay or failure by the account holder to provide the required documents, the application for subscription may not be accepted and in case of redemption request, the payment of the redemption proceeds and/or dividends may not be processed. Neither the Fund(s) nor CACEIS Bank, Luxembourg Branch shall have any liability for delays or failure to process orders into the Fund(s) as a result of the account holder providing no or only incomplete documentation.

Document Certification: must be applied and dated by a national or local authority, a notary, a regulated financial institution/intermediary in an equivalent country or supported by an AML comfort letter from the parent company, a lawyer/ solicitor /chartered accountant (if registered/located in a country under AML equivalent requirements, presenting no conflict of interest with the Investor and no adverse information), a police officer if located in a country under AML equivalent requirements.

Investment information

This application form is subject to the provisions set out in the Fund's prospectus.

Orders received after the cut-off time specified in the prospectus will be processed on the following NAV calculation date, subject to the provisions of the CSSF (*Commission de Surveillance du Secteur Financier*) circular 04/146 or amendments thereto.

For the French domiciled funds, the cut-off time is one hour less than the official Fund cut-off time for orders received by fax and 30 minutes less for orders received by swift.

Incomplete or illegible orders will be accepted only after such orders have been received with complete and legible information by the Transfer Agent and Prime Transfer Agent. No money will be transferred to the Fund unless the order is accepted.

Data protection

The Fund(s), where applicable, the Management Company, and its suppliers or other third parties, including the Transfer Agent may process information, including personal data, about the Investor or in the case of an Institutional Investor the directors, officers and employees of the Investor and the Intermediary and those of its affiliates and agents which may constitute personal data under the EU Data Protection Directive and locally implementing laws uncovered by the EU Data Protection Directive.

The Fund(s) and, where applicable, the Management Company/AIFM are committed to protecting the personal data of the investors (including prospective investors) and of the other individuals whose personal information comes into their possession in the context of the investor's investments in the Fund and to ensure that their service providers comply with similar obligations.

The Fund, and, where applicable, the Management Company/AIFM have taken all necessary steps, to ensure compliance with the EU Regulation 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC and with any implementing legislation applicable to them (together, the "**Data Protection Law**") in respect of personal data processed by it/them in connection with investments made into the Fund.

Personal data shall have the meaning given in the Data Protection Law and includes any information relating to an identifiable individual, such as the investor's name, address, invested amount, the investor's individual representatives' names as well as

the name of the ultimate beneficial owner, where applicable, and such investor's bank account details (the "**Personal Data**").

The processing includes (non-exclusively) actions required in relation to: information about processing of your Personal Data and, as the case may be, consent mechanisms; procedures for responding to requests to exercise individual rights; contractual arrangements with suppliers and other third parties; security measures; arrangements for overseas data transfers and record keeping and reporting policies and procedures.

When subscribing to the Fund, each investor is informed of the processing of his/her personal data (or, when the investor is a legal person, of the processing of such investor's individual representatives and/or ultimate beneficial owners' personal data) via the data protection notice which will be made available to the investors in Part 3 of this application form (the "**Data Protection Notice**").

This Data Protection Notice will inform the investors about the processing activities undertaken by the Fund, the Management Company and their delegates, including the Transfer Agent, in more details.

Recording of telephone conversations

Whoever the party initiating the call, the Investor accepts that CACEIS may record on magnetic tape or on any other medium all or part of any telephone conversations with the Investor or a proxy-holder thereof. The Investor acknowledges that such recordings shall be validly binding upon it and on any third party, even if it was not specifically made aware to the Investor or its representatives that the conversation was being recorded. Recordings will be kept for a maximum period of 5 (five) years and may be produced in court. They shall have the same evidential value as written original documents. The recordings shall be used in strict compliance with any applicable banking secrecy and individual privacy laws.

General definitions

"Account Holder" means the person listed or identified as the holder of a financial account. A person who is the holder of a financial account for the benefit of another person as agent, custodian, nominee, signatory, investment adviser, intermediary or legal guardian is not treated as holding the account. Such other person is treated as holding the account. For example, in the case of a parent/child relationship where the parent acts as legal guardian, the child is treated as holding the account. In the case of a jointly held account, each joint holder is treated as an account holder.

"Change of circumstances" or "Change in circumstances" means any modification of the tax information or documentation of the Account Holder (being associated with his/her Financial Account) that affects the self-certification or the status of such an Account Holder.

"Constitutive Documents" means the Articles of Incorporation or Management Regulations, as the case may be, of a Fund as amended from time to time.

"FATF" means the Financial Action Task Force.

"Financial Account" means an account maintained by a financial institution and includes: deposit accounts; securities accounts (custodian accounts); equity securities or debt issued by investment entities; life insurance policies with a cash surrender value; and annuity contracts.

"Fund" or "Funds" means the collective investment schemes listed in the Application Form.

"Institutional Investor" means any Investor that is not a natural person and which business purpose requires the management of substantial assets. The main characteristic of any institutional investor is that its business purpose requires the management of substantial assets. An institutional investor may be an Insurance company, social security institution, credit institution, UCI (Undertaking Collective Investment), local authorities, unregulated investment company (e.g. holding company) under certain conditions, commercial company with substantial assets under management, pension fund or other professionals of the financial sector. Credit institutions and other professionals of the financial sector investing in institutional funds in their own name but on behalf of another party on the basis of a discretionary management relationship are also considered as institutional investors, even if the third party on behalf of which the investment is undertaken is not itself an institutional investor.

"Investor" means the individual or entity subscribing for Shares including, where applicable, an Intermediary who is authorised to subscribe for Shares on behalf of its clients.

"Intermediary" means the entity or person advising and dealing on behalf of the Investor.

"Fund" means an investment fund vehicle.

"Prospectus" means the current prospectus issued by or in respect of each Fund, whether supplemented or periodically amended.

"Shares" means shares or units of a Fund.

"Terms and Conditions" means these terms and conditions that form part of the Application Form, whether supplemented or periodically amended.



Part 2: Fund introduction form

Please send the original documents to **CACEIS Bank, Luxembourg Branch, Fund Distribution Department at 5, allée Scheffer L-2520 Luxembourg** and the electronic copies by email to **FDS-investor-services@caceis.com**

IMPORTANT: Please ensure to complete all fields that are marked with an asterisk (* mandatory field) and fill in the form in BLOCK CAPITALS.

You do not need to fill in this *Fund Introduction form*, if you want to invest into a fund in which you already hold positions.

Account holder identification

If your account is already opened, please provide your register account number at CACEIS

If your account is not yet opened, CACEIS will provide your attributed register account number once it is opened.

Source of wealth

Important: This section is not required **if** it was already completed in the Account Opening form and it remains unchanged for this fund introduction.

| | | | | |
|----------------------------------|--|--|--------------------------------------|---------------------------------------|
| Savings <input type="checkbox"/> | Property income <input type="checkbox"/> | Professional activity <input type="checkbox"/> | Inheritance <input type="checkbox"/> | Others <input type="checkbox"/> |
|----------------------------------|--|--|--------------------------------------|---------------------------------------|

Note: For an investment over €150 000, a certified copy of the most appropriate supporting document demonstrating the source of wealth is required: portfolio statement (from your broker/bank), notary act, income tax document.

Fund identification

Fund legal name* (only one fund)

I/We want to invest into the following Fund:

KIID Declaration

ONLY NECESSARY FOR a subscription in a UCITS fund, where applicable

The Key Investor Information Document (**KIID**) of the Fund relating to each share class is be available on the website of the Fund or of its Management Company (according to the EU Directive 2009/65/EC on undertaking for collective investments, as amended and relating implementing acts) (collectively referred to as the "UCITS Regulation"). The Fund or its Management Company will ensure, in accordance with the UCITS Regulations, that such website is constantly updated or otherwise, will provide with alternative solutions to access the KIID.

* **By ticking this box, I/We declare to have read the relevant KIID of the Fund relating to the relevant share class and I/We agree that any new subscription order made shall be considered as a written confirmation that I/We have taken knowledge of the relevant up-to-date relevant KIID as published on the website referred above on the date on which the subscription order is completed.**

PRIIPS Declaration

This section should be completed if you invest in a fund required to publish a PRIIPS.

The Key Information Document (**KID**) of the Fund relating to each share class is provided in a durable medium other than paper or by means of a website of the Fund or of its Management Company or AIFM (according to the Regulation (EU) n° 1286/2014 of European Parliament and of the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs), the Regulation (EU) 2016/2340 of the European Parliament and of the Council of 14 December 2016 amending Regulation (EU) n° 1286/2014 on key information documents for packaged retail and insurance-based investment products and the Commission Delegated Regulation (EU) 2017/653 of 8 March 2017 Supplementing Regulation (EU) n° 1286/2014 of European Parliament and of the Council on key information documents for packaged retail and insurance-based investment products (PRIIPs) by laying down regulatory technical standards with regard to the presentation, content, review and revision of key information documents and the conditions for fulfilling the requirement to provide such documents) (collectively referred to as the "PRIIPS Regulation"). The Fund, or its Management Company, or its AIFM, will ensure, in accordance with the PRIIPS Regulations, that such website is constantly updated or otherwise, will provide with alternative solutions to have access to the KID.



* By checking this box, I/We declare to I/We have been given the choice between KID provided on paper, in a durable medium and by means of a website and I/We give my/our **consent to receive the relevant KID in a durable medium other than paper or by means of a website and I/We agree that my/our e-mail address will be recorded for the KID purpose.**

* By checking this box, I/We declare to have received and have the opportunity to read the relevant KID of the Fund relating to the relevant share class prior to my/our investment and before reviewing and signing this application and I/We agree that for any new subscription order I/We will receive a subsequent order form to be completed and signed and that I/We will ensure that I/We will obtain the KID relating to any new subscription.

SIF, RAIF or SICAR declaration

Please complete this section if you want to invest into the following Luxembourg domiciled investment funds: a SIF (Specialised Investment Fund), a RAIF (Reserved Alternative Investment Fund) or if you wish to invest into a SICAR (Investment Company in Risk Capital):

* I am a well-informed investor, and

* I will invest a minimum of EUR 125,000 into the SIF, RAIF, SICAR or

* I will provide CACEIS with an assessment certificate made by a credit institution, an investment firm or a management company certifying your expertise, your experience and your knowledge in adequately appraising an investment in a SIF, RAIF or SICAR.

GDPR Declaration

I/we acknowledge that the Fund, and where applicable the Management Company/AIFM and where applicable their service providers (including the Transfer Agent) will hold and process my/our personal data in accordance with the applicable data protection regulations. Further information is available in section "Terms and Conditions" of this Application Form as well as on the Data Protection Notice attached to this Application Form.

By checking this box, I/we confirm that I/we have read and acknowledge the Data Protection Notice

Professional secrecy declaration

I/we acknowledge that the Fund, and where applicable the Management Company/AIFM and where applicable their service providers (including the Transfer Agent) will hold and process my/our personal data in accordance with the applicable data protection regulations. Further information is available in section "Terms and Conditions" of this Application Form.

By checking this box, I/we confirm that I/we have read and acknowledge the section "Terms and Conditions" of this Application Form and I/we authorise the Fund, and where applicable the Management Company/AIFM, and where applicable their service providers (and in particular the Transfer Agent) to share my/our personal and financial information under the terms and conditions set hereunder in this Application Form.

This Fund introduction form is not a subscription form.

1st signatory*

| | | |
|----------------------|----------------------|----------------------|
| Date | Place | Signature |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| First name | Last name | |
| <input type="text"/> | <input type="text"/> | |

2nd signatory* (if a second signatory)

| | | |
|----------------------|----------------------|----------------------|
| Date | Place | Signature |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| First name | Last name | |
| <input type="text"/> | <input type="text"/> | |