

<p><b>Mailing Address</b></p> <p><b>c/o STATE STREET Fund Services (Ireland) Ltd</b>  <b>Transfer Agency Department</b>  <b>78 Sir John Rogerson’s Quay</b>  <b>Dublin 2</b>  <b>Ireland</b></p>	<p><b>Other Contacts</b></p> <p><b>Tel: + 353 1 242 5541</b>  <b>Fax: + 353 1 438 9549</b></p> <p>Please tick if this form has already been sent by fax transmission. <input type="checkbox"/></p>
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This Initial Application Form (“**Application Form**”) is for initial subscription for shares (“**Shares**”) in Platinum World Portfolios plc (the “**Company**”) or any of its sub-funds (each a “**Fund**”, together the “**Funds**”) pursuant to the key investor information document(s) (“**KIIDs**”) and prospectus for the Funds, including any supplemental prospectus issued by the Company in connection with a Fund from time to time (the “**Prospectus**”).

Capitalised terms used in this Application Form have the meaning given to them in the Prospectus, unless the context requires otherwise.

Please complete this Application Form in BLOCK LETTERS using a black or blue ink pen.

For initial subscriptions for Shares, you must complete this Application Form (including Appendices 1 and 2) and post it to the address above. Completed Application Forms may also be sent by fax with the original Application Form and the supporting documentation required for Anti-Money Laundering purposes to follow by post immediately thereafter.

Failure to provide the original Application Form along with the documentation required for Anti-Money Laundering purposes (see Appendix 1) may result in the deduction of tax due to the Irish Finance Act requirements outlined in the Anti-Money Laundering section and/or a delay in the processing and payment of a transfer or redemption request.

To be valid, this Application Form (incorporating the declarations required by the Irish Revenue Commissioners) must be signed by the applicant and, in the case of joint applicants, by each joint applicant. In the case of a corporation, an authorised signatory list of the applicant must be provided and the application must be signed by at least two of its authorised signatories (unless it has only one authorised signatory).

If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a certified copy<sup>1</sup> of the power of attorney must be furnished in support of the signature.

Applicants who are resident or ordinarily resident in the Republic of Ireland or are an Exempt Irish Resident as defined in the Prospectus – please contact the Administrator immediately.

Subsequent subscriptions may be made by posting or faxing to the above address or fax number a completed Subsequent Subscription Form.

Any changes to the original account details must be received in original format and signed by no less than two authorised signatories (unless there is only one authorised signatory for the investing entity) and, in the case of a company, on corporate letterhead.

For accounts opened in the name of joint applicants who are natural persons, authorisation by all the account holders is required for every instruction.

Should you have any questions, please contact the Administrator:  
 STATE STREET Fund Services (Ireland) Limited  
 78 Sir John Rogerson’s Quay, Dublin 2, Ireland  
 Telephone: + 353 1 242 5541      Facsimile: + 353 1 438 9549      Email: [PlatinumTA@statestreet.com](mailto:PlatinumTA@statestreet.com)

<sup>1</sup> Verification documents must be *certified* by a suitable person/entity, such as the Companies Registration Office (or the equivalent in the applicant’s jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified public accountant, a practicing solicitor, any Designated Person (see Appendix 1). Documents should be stamped with the official stamp of the person, dated and signed by that person.

Subscription Payment Information			
Please pay subscription monies to the following account(s) as per the currency of the share class(es) you wish to invest in:			
Currency	US Dollar (US\$)	Euro (€)	Pound Sterling (£)
SWIFT Code	BOFAUS3N	BOFAGB22	BOFAGB22
Beneficiary Bank	Bank of America N.A.	Bank of America N.A.	Bank of America N.A.
Sort Code	ABA – 026009593	N/A	165050
Beneficiary Account Name	PLATINUM WORLD PORTFOLIOS PUBLIC LIMITED COMPANY	PLATINUM WORLD PORTFOLIOS PUBLIC LIMITED COMPANY	PLATINUM WORLD PORTFOLIOS PUBLIC LIMITED COMPANY
IBAN	N/A	GB50 BOFA 1650 5052 3520 11	GB49 BOFA 1650 5052 3520 29
Beneficiary Account Number	6550062999	52352011	52352029
Reference			

Please ensure that your bank quotes the details above in the electronic funds transfer.  
 The reference needed above should be a combination of the relevant Fund’s short name (see page 3) and your name.

Subscription monies must be received by wire transfer in cleared funds by the Settlement Time (being close of business New York time 3 Business Days after the relevant Dealing Day) in the currency of the relevant Share Class(es).

**Details of Investment:**

The applicant(s), having received and read a copy of the Prospectus, hereby apply for Shares as indicated in the table below:

Fund Name	Short Name	Share Class	ISIN	Subscription Amount / Number of Shares*		
Platinum World Portfolios - International Fund	PTWI	Class A (USD)	IE00BYRGQX37	US\$	OR	Shares
		Class B (USD)	IE00BYRGR076	US\$	OR	Shares
		Class C (USD)	IE00BYRGQY44	US\$	OR	Shares
		Class D (USD)	IE00BYRGQZ50	US\$	OR	Shares
		Class E (EUR)	IE00BYRGR415	€	OR	Shares
		Class F (EUR)	IE00BYRGR183	€	OR	Shares
		Class G (GBP)	IE00BYRGR290	£	OR	Shares
		Class H (GBP)	IE00BYRGR308	£	OR	Shares
Platinum World Portfolios - Asia Fund	PTWA	Class A (USD)	IE00BYRGR522	US\$	OR	Shares
		Class B (USD)	IE00BYRGR639	US\$	OR	Shares
		Class C (USD)	IE00BYRGR746	US\$	OR	Shares
		Class D (USD)	IE00BYRGRD06	US\$	OR	Shares
		Class E (EUR)	IE00BYRGR852	€	OR	Shares
		Class F (EUR)	IE00BYRGR969	€	OR	Shares
		Class G (GBP)	IE00BYRGRB81	£	OR	Shares
		Class H (GBP)	IE00BYRGR98	£	OR	Shares
		Class I (USD)	IE00BYMJ5524	US\$	OR	Shares
Platinum World Portfolios - Japan Fund	PTWJ	Class A (USD)	IE00BYRGRF20	US\$	OR	Shares
		Class B (USD)	IE00BYRGRH44	US\$	OR	Shares
		Class C (USD)	IE00BYRGRG37	US\$	OR	Shares
		Class D (USD)	IE00BYRGRJ67	US\$	OR	Shares
		Class E (EUR)	IE00BYRGRK72	€	OR	Shares
		Class F (EUR)	IE00BYRGR89	€	OR	Shares
		Class G (GBP)	IE00BYRGRM96	£	OR	Shares
		Class H (GBP)	IE00BYRGRN04	£	OR	Shares

**\*Notes:**

- Please separate thousands using a comma (e.g.: Two Million USD = 2,000,000.00)
- Please separate decimals from whole numbers using a decimal point (e.g.: 48.564 Shares)
- Cash to 2 decimal places only and number of Shares to 3 decimal places maximum (e.g.: US\$ 200,000.00 or 48.564 Shares)
- The following minimum initial subscription amount applies to each of the Funds:

Share Class	Minimum Initial Subscription Amount
Class A (USD)	US\$500,000.00
Class B (USD)	US\$100,000.00
Class C (USD)	US\$500,000.00
Class D (USD)	US\$100,000.00
Class E (EUR)	€400,000.00
Class F (EUR)	€80,000.00
Class G (GBP)	£300,000.00
Class H (GBP)	£60,000.00
Class I (USD)	US\$10,000,000.00

In order for Shares to be issued at the price of the relevant Dealing Day, a duly completed and signed Application Form (including valid trade instructions set out above) must be received by the Administrator before the **Trade Cut-Off Time** (being 3.00pm Irish time on the relevant Dealing Day).

Account Registration Details			
Registered Name <sup>1</sup>			
Account Designation(if any)			
Shareholder Type <sup>2</sup>			
Occupation (if the applicant is a natural person) OR Nature or purpose of entity (if the applicant is an entity)			
Source of Applicant’s Wealth (e.g. savings from employment income, income from business activities, inheritance, other (please specify))			
Source of Funding for Investment (How was the cash used to fund this investment acquired? (e.g. proceeds of sale, corporate dividends, inheritance, other (please specify))			
Remitting Bank Details	<input type="checkbox"/> As per “Bank Account Details for Redemption and Distribution Payments” on page 7 of this Application Form <i>OR complete the details below*</i> Remitting bank name: Remitting bank address: Account holder name: *If you have more than one remitting bank please provide details on a separate sheet.		
Registered/Residential Address (PO box or C/O will not be accepted)			
Mailing Address (if different to registered/residential address above)			
Country of Tax Residence			
Contact Name			
Contact Email			
Contact Details – Other <sup>^</sup>	Telephone	+	Facsimile +

<sup>^</sup> Please ensure that contact numbers provided are in the format of (+Country Code)(Area Code)(Number).

<sup>1</sup> If this is a joint application, please enter the details of the primary applicant here.

<sup>2</sup> E.g. (i) natural person, (ii) public/listed company, (iii) state-owned entity, (iv) pension fund, (v) regulated credit and financial institution, (vi) nominee company / intermediary company, (vii) private and unlisted company, (viii) partnership, (ix) collective investment scheme, (x) trust, foundation and similar entity, (xi) charity, (xii) club or society, (xiii) place of worship, (xiv) other (please specify).

**JOINT APPLICANT(S)**

Details of up to 3 additional account holders may be added to the application.

<b>First Additional Applicant Details</b>				
Registered Name				
Occupation (if natural person) OR Nature or purpose of entity (if entity)		Country of Tax Residence		
Source of Funding for Investment (How was the cash used to fund this investment acquired? (e.g. proceeds of sale, corporate dividends, inheritance, other (please specify)))		Source of Applicant's Wealth (e.g. savings from employment income, income from business activities, inheritance, other (please specify))		
Registered/Residential Address* (PO box or C/O will not be accepted)				
Contact Name		Contact Email		
Contact Details – Other^	Telephone	+	Facsimile	+
<b>Second Additional Applicant Details</b>				
Registered Name				
Occupation (if natural person) OR Nature or purpose of entity (if entity)		Country of Tax Residence		
Source of Funding for Investment (How was the cash used to fund this investment acquired? (e.g. proceeds of sale, corporate dividends, inheritance, other (please specify)))		Source of Applicant's Wealth (e.g. savings from employment income, income from business activities, inheritance, other (please specify))		
Registered/Residential Address* (PO box or C/O will not be accepted)				
Contact Name		Contact Email		
Contact Details – Other^	Telephone	+	Facsimile	+
<b>Third Additional Applicant Details</b>				
Registered Name				
Occupation (if natural person) OR Nature or purpose of entity (if entity)		Country of Tax Residence		
Source of Funding for Investment (How was the cash used to fund this investment acquired? (e.g. proceeds of sale, corporate dividends, inheritance, other (please specify)))		Source of Applicant's Wealth (e.g. savings from employment income, income from business activities, inheritance, other (please specify))		
Registered/Residential Address* (PO box or C/O will not be accepted)				
Contact Name		Contact Email		
Contact Details – Other^	Telephone	+	Facsimile	+

\* Correspondence will only be sent to the primary applicant's mailing address. Additional applicants are required to provide their registered/residential address for anti-money laundering verification purposes.

^ Please ensure that contact numbers provided are in the format of (+Country Code)(Area Code)(Number).

**INITIAL APPLICATION FORM**

**BENEFICIAL OWNERS\* –  
TO BE COMPLETED WHERE THE APPLICANT(S) ARE NOT NATURAL PERSONS**

If applicable, please note below any beneficial owner\* of the applicant(s).

<b>Beneficial Owner 1 (where applicable)</b>	
Registered Name	
Registered/Residential Address	
Entity Type <sup>1</sup>	
Date of Birth (if natural person)	

<b>Beneficial Owner 2 (where applicable)</b>	
Registered Name	
Registered/Residential Address	
Entity Type <sup>1</sup>	
Date of Birth (if natural person)	

<b>Beneficial Owner 3 (where applicable)</b>	
Registered Name	
Registered/Residential Address	
Entity Type <sup>1</sup>	
Date of Birth (if natural person)	

\* A beneficial owner is considered by the Company to be any individual or entity that:

- (a) ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25% of the shares or voting rights in an applicant, or
- (b) otherwise exercises controls over the management of an applicant.

<b>Intermediary Details (if applicable)</b>			
Broker ID		Branch ID	
Broker Name			
Broker Address			
Representative Name		Representative ID	
Representative Email			
Representative Contacts <sup>^</sup>	Telephone	+	Facsimile +

<sup>^</sup> Please ensure that contact numbers provided are in the format (+Country Code)(Area Code)(Number).

<sup>1</sup> E.g. (i) natural person, (ii) public/listed company, (iii) state-owned entity, (iv) pension fund, (v) regulated credit and financial institution, (vi) nominee company / intermediary company, (vii) private and unlisted company, (viii) partnership, (ix) collective investment scheme, (x) trust, foundation and similar entity, (xi) charity, (xii) club or society, (xiii) place of worship, (xiv) other (please specify).

**Bank Account Details for Redemption and Distribution Payments**

Please provide the details of the account to which redemption proceeds and/or distributions (if any) should be paid.

Payments will only be made to a bank account held in the name of the registered Shareholder(s). No payment will be made to any account in the name of a third party. Redemptions will not be processed on uncleared/unverified accounts.

Both IBAN and SWIFT (BIC) Codes should be quoted for all bank accounts within the EU/EEA.

Amendments to a Shareholder’s payment instructions will only be effected upon receipt of an original instruction that has been duly executed. In the case of joint accounts, instructions will only be made upon receipt of instruction duly signed by all account holders.

The Administrator does not accept any responsibility for the bank account details provided. Payments made using these details will be at the applicant’s risk.

<b>Correspondent Bank Name</b>	
<b>Correspondent Bank Address</b>	
<b>Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Bank Name</b>	
<b>Beneficiary Bank Address</b>	
<b>Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Account Name</b>	
<b>Beneficiary Account Number (or IBAN)</b>	
<b>Payment Type (please select)</b>	MT202 <input type="checkbox"/> / MT103 <input type="checkbox"/>
<b>Currency</b>	
<b>Reference</b>	

**Return of Values (Investment Undertakings) Regulations 2013**

Pursuant to the Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Return of Values Regulations"), the Company is required to collect certain information from non-Exempt Irish Resident Shareholders. All applicants, whether individuals, bodies corporate or unincorporated bodies of persons, that are resident or ordinarily resident in Ireland should review the list of Exempt Irish Resident Shareholders set out below.

If the applicant is resident or ordinarily resident in Ireland and is not an Exempt Irish Resident Shareholder, please provide the following information and documentation:

Tax Identification Number (TIN) / PPS Number: \_\_\_\_\_

Any one of the following documents is required to verify the TIN or PPS Number (either an original or a copy will suffice):

- P60
- P45
- P21 Balancing Statement
- Payslip (where employer is identified by name or tax number)
- Drug Payment Scheme 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, printed documentation issued by the Irish Revenue Commissioners or the Department of Social Protection which includes your name, address and TIN is also acceptable.

In the case of joint account holders, the additional documentation is required for each applicant.

**Exempt Irish Resident Shareholders**

The following entities are Exempt Irish Resident Shareholders, provided the applicant has included with this Application Form a duly completed declaration (see Appendix 3) in accordance with Section 739D of the Taxes Consolidation Act 1997, as amended.

Shareholders	References to the Taxes Consolidation Act, 1997, as amended
An investment undertaking	Section 739D(6)(c)
An investment limited partnership	Section 739D(6)(cc)
A pension scheme which is an exempt approved scheme	Section 739D(6)a)
A company carrying on a life assurance business	Section 739D(6)(b)
A special investment scheme	Section 739D(6)(d)
A unit trust to which section 731(5) applies	Section 739D(6)(e)
A charity	Section 739D(6)(f)(i)
ARFs, AMRFs	Section 739D(6)(h)
A qualifying fund manager	Section 739D(6)(g)
A qualifying savings manager	Section 739D(6)(g)
PRSA providers	Section 739D(6)(i)
The National Pensions Reserve Fund	Section 739D(6)(l)
The National Asset Management Agency	Section 739D(6)(ka)
A Section 110 Company	Section 739D(6)m)
A Credit Union	Section 739D(6)(j)
A non-Irish resident Shareholder in respect of whom the Company has obtained a completed non-resident declaration or where the Company has adopted the Equivalent Measures Regime	Section 739D(7) Section 739D(7B)
A Shareholder who holds its Shares in a recognised clearing system	Section 739B

**Personal Portfolio Investment Undertaking (PPIU)**

I/We confirm that I am/we are not Irish Resident(s) or Irish Ordinary Resident(s), or that I am/we are Irish Resident(s) or Irish Ordinary Resident(s) who are not director(s) of the Company and are not connected with any director of the Company.

If the above confirmation cannot be given, please enter name(s) of PPIU

\_\_\_\_\_



**Politically Exposed Persons**

Please complete **EITHER Section A or Section B** below, based on the following definitions.

A Politically-Exposed Person (“**PEP**”) is an individual who, at any time in the preceding 12 months, has been entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

- a. a “specified official”; and
- b. a member of the administrative, management or supervisory body of a state-owned enterprise.

A “**specified official**” is:

- a. a head of state, head of government, government minister or deputy or assistant government minister;
- b. a member of a parliament;
- c. a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- d. a member of a court of auditors or of the board of a central bank;
- e. an ambassador, chargé d’affaires or high-ranking officer in the armed forces, and

includes any such official in an institution of the European Communities or an international body.

An “**immediate family member**” of a PEP includes any of the following persons:

- a. any spouse of the PEP;
- b. any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- c. any child of the PEP;
- d. any spouse of a child of the PEP;
- e. any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- f. any parent of the PEP; and
- g. any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A “**close associate**” of a PEP includes any of the following persons:

- a. any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP; and
- b. any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a “**beneficial owner**” of a body corporate (other than a company having securities listed on a regulated market) is any individual who:

- a. ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25% of the shares or voting rights of the body; or
- b. otherwise exercises control over the management of the body.

**SECTION A: TO BE COMPLETED IF:**

This application is being made by a PEP, an immediate family member of a PEP, or a close associate of a PEP.  
 OR  
 The applicant(s) have a beneficial owner who is a PEP, an immediate family member of a PEP, or a close associate of a PEP.  
 OR  
 This application is being made for the benefit of a PEP, an immediate family member of a PEP, or a close associate of a PEP.  
 OR  
 The applicant(s) intend to transfer the Shares applied for to a PEP, an immediate family member of a PEP, or a close associate of a PEP.

Name of PEP		Residential Address of PEP	
Office of PEP		Relationship of applicant or applicant’s beneficial owner to PEP	

Source of wealth of the PEP (e.g. income from employment, income from company business, inheritance, etc.):

**SECTION B: BY TICKING THE BOX BELOW, THE APPLICANT(S) CONFIRM THAT:**

this application is NOT being made by a PEP, an immediate family member of a PEP, or a close associate of a PEP;  
 AND  
 the applicant(s) do not have a beneficial owner who is a PEP, an immediate family member of a PEP, or a close associate of a PEP;  
 AND  
 this application is NOT being made for the benefit of a PEP, an immediate family member of a PEP, or a close associate of a PEP;  
 AND  
 the applicant(s) do NOT intend to transfer the Shares applied for to a PEP, an immediate family member of a PEP, or a close associate of a PEP.

**US Person Confirmation**

Please tick the box next to the statement applicable to you.

I/We confirm that I am/we are US Person(s) (as defined in the Prospectus<sup>1</sup>), OR am/are acquiring Shares on behalf of or for the benefit of US Person(s), OR I/we intend to transfer some or all of the Shares that I/we may acquire to US Person(s).

If you have ticked the box above, please supply a completed US Internal Revenue Service **Form W-9** OR **Form W-8BEN**, if the beneficial owner is not a US Person.

I/We confirm that I am/we are **NOT** US Person(s) (as defined in the Prospectus<sup>1</sup>), AND am/are **NOT** acquiring Shares on behalf of or for the benefit of any US Person(s), AND I/we do **NOT** intend to transfer any of the Shares that I/we may acquire to any US Person(s).

**Australian Resident Confirmation**

Please tick the box next to the statement applicable to you.

I/We confirm that I am/we are Australian Resident(s) (as defined in the Prospectus<sup>2</sup>), OR am/are acquiring Shares on behalf of or for the benefit of Australian Resident(s), OR I/we intend to transfer some or all of the Shares that I/we may acquire to Australian Resident(s).

I/We confirm that I am/we are **NOT** Australian Resident(s) (as defined in the Prospectus<sup>2</sup>), AND am/are not acquiring Shares on behalf of or for the benefit of any Australian Resident(s), AND I/we do **NOT** intend to transfer any of the Shares that I/we may acquire to any Australian Resident(s).

<sup>1</sup> The definition of "US Person" in the Prospectus follows the definition of "U.S. person" in Regulation S of the Securities Act 1933.

Under that definition, "**US Person**" means:

- (i) Any natural person resident in the United States;
- (ii) Any partnership or corporation organized or incorporated under the laws of the United States;
- (iii) Any estate of which any executor or administrator is a U.S. person;
- (iv) Any trust of which any trustee is a U.S. person;
- (v) Any agency or branch of a foreign entity located in the United States;
- (vi) Any non-discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary for the benefit or account of a U.S. person;
- (vii) Any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organized, incorporated, or (if an individual) resident in the United States; and
- (viii) Any partnership or corporation if:
  - (A) Organized or incorporated under the laws of any foreign jurisdiction; and
  - (B) Formed by a U.S. person principally for the purpose of investing in securities not registered under the Act, unless it is organized or incorporated, and owned, by accredited investors (as defined in §230.501(a)) who are not natural persons, estates or trusts.

The following are not "US Persons":

- (i) Any discretionary account or similar account (other than an estate or trust) held for the benefit or account of a non-U.S. person by a dealer or other professional fiduciary organized, incorporated, or (if an individual) resident in the United States;
- (ii) Any estate of which any professional fiduciary acting as executor or administrator is a U.S. person if:
  - (A) An executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate; and
  - (B) The estate is governed by foreign law;
- (iii) Any trust of which any professional fiduciary acting as trustee is a U.S. person, if a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets, and no beneficiary of the trust (and no settlor if the trust is revocable) is a U.S. person;
- (iv) An employee benefit plan established and administered in accordance with the law of a country other than the United States and customary practices and documentation of such country;
- (v) Any agency or branch of a U.S. person located outside the United States if:
  - (A) The agency or branch operates for valid business reasons; and
  - (B) The agency or branch is engaged in the business of insurance or banking and is subject to substantive insurance or banking regulation, respectively, in the jurisdiction where located; and
- (vi) The International Monetary Fund, the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, the African Development Bank, the United Nations, and their agencies, affiliates and pension plans, and any other similar international organizations, their agencies, affiliates and pension plans.

<sup>2</sup> "**Australian Resident**" is defined in the Prospectus as "a resident of Australia for Australian tax purposes".

**Declaration of Residence Outside the Republic of Ireland**

Applicants resident outside the Republic of 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 subscription for Shares.

Terms used in this declaration are defined in the Prospectus. Please select either A or B.

A - Declaration on Own Behalf

- i. I/We\* declare that I am/we\* are applying for Shares on my own/our own behalf/on behalf of a company\* and that I am/we are/the company\* is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company\* is not currently an Irish Resident or Irish Ordinary Resident, and should I/we/the company\* become an Irish Resident, I/we will so inform you, in writing, accordingly.

\*Delete as appropriate

B - Declaration as Intermediary

- i. 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 an Irish Resident or Irish Ordinary Resident, and
- ii. 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 an Irish Resident.

\*Delete as appropriate

**Important:** Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.

**Declarations and Acknowledgements**
**General Declarations and Confirmation of Receipt of Documentation**

I/We, having received and considered a copy of the Prospectus, hereby confirm that this application is based solely on the current Prospectus and the material contracts therein referred to together (where applicable), together with the most recent annual report or semi-annual report and accounts of the Company.

By signing this Application Form, I/We represent that I/we have regular access to the internet. I/we acknowledge that I/we have been offered the choice of receiving the Prospectus and the KIIDs on paper and in electronic form by means of a website or by email and hereby specifically consent to receiving the KIIDs in electronic form by way of accessing the latest version of the document online at [www.platinumworldportfolios.ie](http://www.platinumworldportfolios.ie) (or such other website address as may be notified to me/us from time to time). I/We hereby confirm that we have also been notified electronically of this website address and the place on the website where the KIIDs can be accessed.

I/We hereby acknowledge that I/we have received or accessed by electronic means, the KIIDs. I/we also consent to accessing the KIIDs by electronic means before making any subsequent and/or future subscriptions for Shares in any class and/or Fund.

I/We undertake to observe and be bound by the provisions of the Articles of Association of the Company (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).

I/We acknowledge that the Directors of the Company may restrict the ownership of Shares in a Fund by any person, firm or corporation where such ownership would be in breach of any regulatory or legal requirement or may affect the tax status of the Fund or the Company and may impose such restrictions on transfers of Shares in a Fund as it considers appropriate. I/We acknowledge that if we hold Shares in contravention of the restrictions set out in the Prospectus (or any supplement to the prospectus) or, by virtue of our holding, I am/we are in breach of the laws and regulations of any competent jurisdiction applicable to me/us or whose holding could, in the opinion of the Directors of the Company, cause the respective Fund, the Company or any Shareholder to incur any liability to taxation or to suffer any pecuniary disadvantage which any or all of them might not otherwise have incurred or sustained or otherwise in circumstances which the Directors believe might be prejudicial to the interests of the Shareholders, I/we hereby agree that I/we shall indemnify the respective Fund, the Company, the Investment Manager, the Custodian, the Administrator and the Shareholders for any loss suffered by it or them as a result of my/our acquiring or holding Shares in the Company. I/We acknowledge that the Company has the power under its Articles of Association to compulsorily redeem and/or cancel any Shares in a Fund held or beneficially owned in contravention of the restrictions imposed by them.

I/We acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the Company, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Company, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed 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 requested by the parties referred to and has not been provided by me/us.

I/We acknowledge that subscription monies received by a Fund in advance of the issue of Shares will be held in a single umbrella cash account opened in the name of the Company (the "Umbrella Cash Account") and will be treated as an asset of the relevant Fund. For the avoidance of doubt, such monies will not be held in an account that is subject to the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers. Accordingly, subscribing investors will be unsecured creditors of the relevant Fund with respect to the subscription amount until the corresponding Shares are issued on the relevant Dealing Day. Such investors will not benefit from any appreciation in the Net Asset Value of the Fund or any other Shareholder rights in respect of the subscription amounts (including dividend entitlements) until such time as the Shares are issued.

I/we acknowledge that monies held in an Umbrella Cash Account will be commingled with the assets and liabilities of the other Funds and will be exposed to counterparty risk, the risk of market conditions generally, the Fund's creditors and any other risks affecting the relevant Fund. In the event of an insolvency of a Fund, there is no guarantee that the Fund will have sufficient funds to pay unsecured creditors (including investors entitled to subscription, redemption and dividend payments) (see above) in full.

I/we acknowledge that no interest will be paid on the amounts held in the Umbrella Cash Account prior to the payment of any redemption or dividend proceeds. Any interest earned on the monies in the Umbrella Cash Account will be for the benefit of the relevant Fund and will be allocated to the Fund on a periodic basis for the benefit of the Shareholders at the time of the allocation.

I/We confirm that I/we have the capacity and am/are duly authorised to complete this Application Form and to make the representations and give the indemnities referred to herein.

I/We agree to provide these representations to the Company and its Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the Company and/or its Directors may reasonably require to substantiate such representations.

(In respect of joint shareholdings only). We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) of us or the executor or administrator of such survivor(s).

I/ We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Company by me/us shall be governed by them, and I/we agree to notify the Company or the Administrator immediately, if any representation or warranty are no longer accurate and to abide by any directions from the Company or the Administrator arising as a result.

I/We confirm that, being natural person(s), I am/ we are over 18 years of age.

I/We hereby certify that I am/we are aware of the risks involved in the proposed investment as set out in the Prospectus.

I/We confirm that I am/we are in agreement with the distribution policy as outlined in the Prospectus.

I/We declare that the information contained in the declarations completed above is true and correct.

I/We hereby authorise the Administrator to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me/us in written form, by facsimile or by electronic means. I/We hereby agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by me/us, i.e. facsimile, telephone instructions confirmed by me/us in writing. The Administrator and the Company may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I/We consent to any notice or other document to be sent by the Company or the Administrator to me/us as a Shareholder, by electronic means including but not limited to e-mail, swift or by posting such notice or other document on a website notified to me/us by post or by e-mail.

By signing this application form, I/we acknowledge and agree that the non-provision of the information required under this form may result in mandatory redemption of shares in the Company or other appropriate action taken by the Company.

**Data Protection Information Notice**

Prospective investors should note that by completing this Application Form they are providing personal information, which may constitute personal data within the meaning of the Irish Data Protection Acts 1988 and 2003 (the “**Data Protection Acts**”). Data will be used for the purposes of administration, transfer agency, statistical analysis, research and disclosure to the Company, its delegates and agents. By signing this Application Form, prospective investors acknowledge that they are providing their consent to the Company, its delegates and its or their duly authorised agents and any of their respective related, associated or affiliated companies obtaining, holding, using, disclosing and processing the data for any one or more of the following purposes:

- to manage and administer the investor’s holding in the Company and any related accounts on an ongoing basis;
- for any other specific purposes where the investor has given specific consent;
- to carry out statistical analysis and market research;
- to comply with legal and regulatory obligations applicable to the investor and the Company;
- for disclosure or transfer, whether in Ireland or countries outside Ireland, including without limitation the U.S., which may not have the same data protection laws as Ireland, to third parties, including financial advisers, regulatory bodies, auditors and technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; or
- for other legitimate business interests of the Company.

In particular, in order to comply with the Common Reporting Standard (as implemented in Ireland by Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections), your personal data (including financial information) may be shared with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange information (including personal data and financial information) with foreign tax authorities (including foreign tax authorities located outside the EEA). Please consult the AEOI (Automatic Exchange of Information) webpage on [www.revenue.ie](http://www.revenue.ie) for further information in this regard.

Pursuant to the Data Protection Acts, investors have a right of access to their personal data kept by the Company and the right to amend and rectify any inaccuracies in their personal data held by the Company by making a request to the Company in writing.

The Company is a data controller within the meaning of the Data Protection Acts and undertakes to hold any personal information provided by investors in confidence and in accordance with the Data Protection Acts.

**DECLARATION / AUTHORISATION**

I/We agree to be bound by the declarations, representations, consents and indemnities set out in this Application Form.

Signature (1) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_

Name Authorised Signatory (1) \_\_\_\_\_

Signature (2) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_

Name Authorised Signatory (2) \_\_\_\_\_

Signature (3) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_

Name Authorised Signatory (3) \_\_\_\_\_

Signature (4) \_\_\_\_\_

Capacity of Authorised Signatory \_\_\_\_\_

Name Authorised Signatory (4) \_\_\_\_\_

Date \_\_\_\_\_

## APPENDIX 1

## ANTI-MONEY LAUNDERING – KNOW YOUR CUSTOMER REQUIREMENTS

Under Irish legislation and supplemental guidance in relation to anti-money laundering and the taxation of savings, the Company and the Administrator are required to obtain the following documentation to verify the identity of all new applicants. This documentation should be provided with the completed Application Form. The documentation listed below may not cover all applications and the Company and the Administrator reserve the right to request additional documentation, if required.

Should documents be provided in a language other than English, an English translation should be provided.

Please note that the application may not be accepted until the Administrator is in receipt of all required anti-money laundering documentation and the original Application Form. In any event, redemption and distribution payments (if any) will not be processed until full anti-money laundering documentation has been received on the account and the Company and the Administrator reserve the right to take further action where full anti-money laundering documentation has not been received.

**Documentation required for all applicants who are natural persons:**

1. Personal verification<sup>1</sup> - ONE official photographic document (certified copy<sup>2</sup>); and
2. Residential address verification<sup>3</sup> - TWO different address verification documents (original or certified copy<sup>2</sup>).

**Documentation required for Designated Persons<sup>4</sup> in certain countries<sup>5</sup>:**

1. Confirmation of name and address;
2. Confirmation of regulatory body;
3. Original authorised signatory list; and
4. Original letter of assurance (where investing as an intermediary) – see page 17.

**Documentation required for non-Designated Persons:**

1. Confirmation of name, office address, principal business address and registered number;
2. Confirmation of regulatory body (if applicable);
3. Certificate of incorporation or certificate to trade (certified copy<sup>2</sup>);
4. Memorandum and articles of association (certified copy<sup>2</sup>);
5. Latest audited financial statements (certified copy<sup>2</sup>);
6. Nature and purpose of the entity;
7. List of directors to include full name, dates of birth, occupation, residential and business addresses;
8. Authorised mandate or board resolution to establish the business relationship (certified copy<sup>2</sup>);
9. Original authorised signatory list;
10. ONE personal verification and TWO address verification documents for at least TWO directors **OR** ONE director and ONE authorised signatory (original or certified copy<sup>2</sup>); and
11. Verification of the identity of all beneficial owners beneficially entitled to more than 25% of the entity's share capital or voting rights or otherwise exercises control over the management of the entity (if no beneficial owner holds more than 25%, verification of this is required (e.g. share register)).

**Documentation required for pension fund accounts in certain countries<sup>5</sup>:**

1. Confirmation of name and address;
2. Pension scheme rules (certified copy<sup>2</sup>);
3. Constitutional / formation document (eg: trust deed) (certified copy<sup>2</sup>);
4. Confirmation of registration from the relevant tax authorities or pensions board (certified copy<sup>2</sup>);
5. Verification of the principal employer (if applicable);
6. Name, address and dates of birth of the officers/board members/trustees/directors/governors or equivalent;
7. Identity verification for TWO officers/board members/trustees/directors/governors or equivalent;
8. Evidence that the person representing the pension scheme is empowered to act (certified copy<sup>2</sup>); and
9. Original authorised signatory list.

<sup>1</sup> Acceptable personal verification documents are a certified copy of a Passport or a Driver's License or National Identity Card. The certified documents must be in date, show a picture of the person, full name, date of birth and signature of the person.

<sup>2</sup> Verification documents must be *certified* by a suitable person/entity, such as the Companies Registration Office (or the equivalent in the applicant's jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified public accountant, a practicing solicitor, any Designated Person. Documents should be stamped with the official stamp of the person, dated and signed by that person.

<sup>3</sup> Acceptable address verification documents are any TWO of the following: electricity bill, gas bill, water bill, telephone bill, cable television bill, bank statement or credit card statement, social insurance documents, household/motor insurance certificates. Documents must originate from a different source, show the full name and residential address of the applicant and must be dated within 6 months of submission.

<sup>4</sup> As defined in section 25 of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended), which generally include credit institutions, financial institutions, auditors, external accountants or tax advisers, relevant independent legal professionals, trust or company service providers, property service providers, casinos, among others.

<sup>5</sup> Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Guernsey, Hong Kong, Iceland, Ireland, Italy, Jersey, Luxembourg, Isle of Man, Netherlands, Norway, Portugal, Singapore, Spain, Sweden, Switzerland, United Kingdom, United States. (Please note this list is subject to change).



**Documentation required for a nominee company:**

1. Confirmation of name and address of nominee company;
2. Original authorised signatory list for the nominee account;
3. Confirmation of name and address of parent of nominee;
4. Confirmation of regulatory body of parent of nominee;
5. Original authorised signatory list of parent of nominee;
6. Proof of regulation (nominee / parent); and
7. Original letter of assurance from parent of nominee.

**Documentation required for a trust/foundation/charity:**

1. Confirmation of name, registered and principal business address;
2. Constitutional / formation document (eg: trust deed or equivalent) (certified copy<sup>1</sup>);
3. Nature and purpose of the entity;
4. ONE Personal Verification and TWO Address Verification documents for at least TWO trustees/directors/governors/board members or ONE trustee/director/governor/board member and ONE authorised signatory (original / certified copy<sup>1</sup>);
5. ONE Personal Verification and TWO Address Verification documents for any settlor (where appropriate);
6. ONE Personal Verification and TWO Address Verification documents for all beneficiaries who own at least 25% of the capital; and
7. Original authorised signatory list.

Please note that the Administrator can only accept Application Forms from an entity that has legal capacity to enter into contracts in its own right and may require the constitutive document to verify legitimate legal status.

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<sup>1</sup> Verification documents must be *certified* by a suitable person/entity, such as the Companies Registration Office (or the equivalent in the applicant's jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified public accountant, a practicing solicitor, any Designated Person. Documents should be stamped with the official stamp of the person, dated and signed by that person.



**AML CONFIRMATION FOR NOMINEES / INTERMEDIARIES**

This confirmation can only be completed by Designated Persons<sup>1</sup> regulated for anti-money laundering purposes by the appropriate regulator in one of the following countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Guernsey, Hong Kong, Iceland, Ireland, Italy, Jersey, Luxembourg, Isle of Man, Netherlands, Norway, Portugal, Singapore, Spain, Sweden, Switzerland, United Kingdom, United States. (Please note this list is subject to change.)

<b>DESCRIPTION OF INVESTOR</b>	<b>DESIGNATED PERSON INVESTING AS AN INTERMEDIARY</b> <input type="checkbox"/> <b>NOMINEE COMPANY</b> <input type="checkbox"/>
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<b>RELATIONSHIP OF CONFIRMATION PROVIDER (REGULATED ENTITY) TO APPLICANT</b>	<b>APPLICANT</b> <input type="checkbox"/> <b>PARENT OF APPLICANT</b> <input type="checkbox"/>
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**UNLESS THE FOLLOWING BOX IS TICKED THE ADMINISTRATOR WILL APPLY THE CONFIRMATION BELOW TO ANY SUBSEQUENT DESIGNATED ACCOUNTS IN THE NAME OF THE APPLICANT(S).**

**DO NOT APPLY THE FOLLOWING CONFIRMATION TO SUBSEQUENT DESIGNATIONS**

Name of Regulated Entity \_\_\_\_\_

Name of Regulator \_\_\_\_\_

Address of Regulated Entity \_\_\_\_\_

We confirm that we are a Designated Person<sup>1</sup> regulated for anti-money laundering purposes by the above regulator and hereby confirm the following in connection to the applicant(s):

1. We / the applicant(s) have performed the anti-money laundering and counter-terrorist financing identification for all parties on whose behalf the applicant(s) are applying for Shares (“underlying investors”).
2. The evidence we / the applicant(s) have obtained to verify the identity of the underlying investors, and where appropriate, their beneficial shareholders, meets the requirements of our national anti-money laundering and counter-terrorist financing legislation and regulations.
3. We confirm that all documents and information, which we / the applicant(s) may have on our / the applicants’ files relating to the identity of each underlying investor will be sent to a competent authority as soon as practicable upon the competent authority’s request.
4. We confirm that all documents and information, which we / the applicant(s) may have on our / the applicants’ files relating to the identity of each underlying investor will be sent to the Administrator as soon as practicable upon its request, subject to applicable rules and regulations.
5. We / the applicant(s) will retain these documents and information for a period of at least 5 years after the relationship with an underlying investor has ended.
6. We / the applicant(s) will take measures to ensure that the underlying investors are neither individuals nor institutions against whom sanctions have been imposed by the EU or United Nations or persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury’s Department’s Office of Foreign Asset Control (“OFAC”).

Yours faithfully

Name: \_\_\_\_\_

Title: \_\_\_\_\_  
 Authorised Signatory of Regulated Entity

*This should be signed by an authorised member of your compliance department or legal department (please state position).*

<sup>1</sup> As defined in section 25 of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended).

**APPENDIX 2**

Please complete the attached “Entity Self-Certification” or “Individual Self- Certification” form as is applicable to you.

## Entity Self-Certification for FATCA and CRS

### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G or, as applicable, Chapter 3A of Part 38 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 Fund with relevant tax authorities. 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 refer to the OECD CRS Portal or speak to a tax adviser.

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".**

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### 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: \_\_\_\_\_

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### 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 **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5)

Or

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

**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.	The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide the sponsor's name and sponsor's <i>GIIN</i> : Sponsor's Name: _____ Sponsor's <i>GIIN</i> : _____	
II.	<i>Exempt Beneficial Owner</i>	
III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

**3.4 Non-Financial Institutions under FATCA:**

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

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

**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 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.	<i>Financial Institution under CRS (other than (II) below)</i>	
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 name of any Controlling Person(s) of the Entity 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) )	

**\*\*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):\*** \_\_\_\_\_

## Individual (Controlling Person's) Self-Certification for FATCA and CRS

### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G or, as applicable, Chapter 3A of Part 38 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 Fund with relevant tax authorities. 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 refer to the OECD CRS Portal or speak to a tax adviser..

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 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.

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

*(Mandatory fields are marked with an \*)*

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### 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.

**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\*: \_\_\_\_\_

  

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**APPENDIX 3**

Please complete the attached “Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997” if and only if you are an Exempt Irish Resident Shareholder (see page 8 of the Application Form for detail)

Date: \_\_\_\_\_

## <sup>1</sup>Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997

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

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

\* Delete as appropriate. (Please see overleaf for important information)

a pension scheme;	<input type="checkbox"/>
a company carrying on life business within the meaning of section 706 TCA 1997;	<input type="checkbox"/>
an investment undertaking;	<input type="checkbox"/>
a special investment scheme;	<input type="checkbox"/>
a unit trust to which section 731(5)(a) TCA 1997 applies;	<input type="checkbox"/>
a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;	<input type="checkbox"/>
a qualifying management company;	<input type="checkbox"/>
a specified company;	<input type="checkbox"/>
entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997* or by virtue of section 848E TCA, 1997*, (see further requirements for Qualifying Fund Manager/Qualifying Savings Manager below).	<input type="checkbox"/>
a PRSA Administrator	<input type="checkbox"/>
a credit union within the meaning of section 2 of the Credit Union Act 1997	<input type="checkbox"/>

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

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

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

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

Additional requirements where the declaration is completed by an Intermediary

I/we\* declare that I am/we are\* applying for shares/units on behalf of persons who  
I to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the units in respect of which this declaration is made; and  
I is a person referred to in section 739D(6) TCA 1997.

I/we\* also declare that

I unless I/we\* specifically notify you to the contrary at the time of application, all applications for shares/units made by me/us\* from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and

I I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

\* Delete as appropriate

Name of applicant: \_\_\_\_\_

<sup>2</sup>Irish tax reference number of applicant: \_\_\_\_\_

<sup>3</sup>Authorised signatory: \_\_\_\_\_ (declarant)

Title: (Mr./Ms. etc.) \_\_\_\_\_

Capacity in which declaration is made: \_\_\_\_\_

Date: \_\_\_\_\_

#### IMPORTANT NOTES

<sup>1</sup>This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.

<sup>2</sup>Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a “specified person” within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager/qualifying savings manager, quote the tax reference number of the beneficial owner of the shares/units.

<sup>3</sup>In the case of, (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. It must also be signed by a qualifying fund manager of an approved retirement fund/an approved minimum retirement fund, by a qualifying savings manager of a special savings incentive account or by a PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of