

# APPLICATION FORM FOR INVESTORS OTHER THAN NATURAL PERSONS

## APPLICATION PROCESS

Any capitalised terms not defined herein will have the meaning ascribed to them in the prospectus (the "**Prospectus**") of Ranmore Global Equity Fund Plc (the "**Fund**") which is available at [www.ranmorefunds.com](http://www.ranmorefunds.com)

1. Read and consider the Prospectus and the Key Investor Information Document ("**KIID**")
2. Complete and sign this Application Form and the attached FATCA and CRS self-certification form.
3. Collate the applicable client verification requirements (refer to pages 10 and 11 of this form).
4. The completed Application Form\* and client verification documentation must be sent to Apex at [apexta@apexfunds.ie](mailto:apexta@apexfunds.ie) by the Cut-Off Time. This may be in pdf format.  
  
\*At your earliest convenience following confirmation from Apex that your account is open, please post the original version ("wet ink version") of this completed Application Form to Apex at the following address. Please note that any redemption payments in the future cannot be made until Apex is in receipt of the wet ink version of this Application Form.  
  
Ranmore Client Services Team,  
C/O Apex Fund Services (Ireland) Limited,  
2<sup>nd</sup> Floor, Block 5,  
Irish Life Centre,  
Abbey Street,  
Dublin,  
Ireland  
D01 P767
5. Once Apex has completed its review, you will be issued with a six-digit account number and a Contract Note evidencing your shares have dealt.
6. Within three business days of the dealing date evidenced on your Contract Note, pay the subscription amount by bank transfer to the correct currency account as specified in the section of the Application Form entitled 'Bank remittance information'.
7. Subsequent applications to purchase Shares in the Fund (i.e. subsequent to this Application Form) may, by the Cut-Off Time, be sent to Apex at the above address or via the following methods:
  - By email of a 'Form for Additional Subscriptions' (available at [www.ranmorefunds.com](http://www.ranmorefunds.com)) to [apexta@apexfunds.ie](mailto:apexta@apexfunds.ie);
  - By fax to +353 1 411 2948; or
  - Via Calastone provided that the Administrator has confirmed it can accept instructions via Calastone. Please liaise with the Administrator via the aforementioned contact details to confirm.
6. The Manager can be contacted at: Carne Global Fund Managers (Ireland) Limited, 2nd Floor, Block E, Iveagh Court, Harcourt Road, Dublin 2, Ireland

Appended below this Application Form is the Ranmore Global Equity Fund plc (the "**Fund**") KIID and a FATCA and CRS self-certification form.

The Fund has engaged Apex Fund Services (Ireland) Limited ("**Administrator**" or "**Apex**") to manage the application process.

Telephone: +353 1 411 2949

Email: [apexta@apexfunds.ie](mailto:apexta@apexfunds.ie)

Fax: +353 1 411 2948

The applicant is strongly recommended to read and consider the Prospectus and KIID, before completing this Application Form. By completing and signing this Application Form, you will be deemed to have received and read the Prospectus and the KIID.

This Application Form, once duly completed and signed by you and accepted by or on behalf of the Fund, constitutes a binding and legal document between the Fund and you and forms the basis on which you agree to make and invest your commitment and your subscription for Shares.

INVESTOR TYPE (PLEASE TICK AS APPROPRIATE)	
REGULATED FINANCIAL INSTITUTION	
NOMINEE ACCOUNT WITH A REGULATED PARENT	
LISTED ENTITY OR SUBSIDIARY OF LISTED ENTITY	
REGULATED PENSION SCHEME	
PRIVATE COMPANY	
TRUST	
OTHER (PLEASE SPECIFY)	

INVESTOR DETAILS (PLEASE COMPLETE FIELDS WHICH APPLY)	
INVESTOR NAME	
REGISTERED ADDRESS	
COMPANY REGISTRATION NUMBER	
COUNTRY OF INCORPORATION	
NAME OF REGULATED PARENT	
HOME REGULATOR AND REGULATORY REFERENCE NUMBER	
TELEPHONE NUMBER(S) (PLEASE SEPARATE BY COMMA)	
EMAIL ADDRESSES (PLEASE SEPARATE BY COMMA)	
WEBSITE	
FAX NUMBER	

INVESTMENT COMMITMENT AND SUBSCRIPTION			
<p>I hereby commit to invest in the Fund the amount indicated in the table below and the currency in which I wish to subscribe and undertake to make available and invest my commitment by way of subscription for Shares, subject to, and in accordance with, the terms and conditions set out in this Application Form and the Prospectus. Subscription payments, net of all bank charges, must be received in cleared funds no later than 3 Business Days after the relevant Dealing Day.</p>			
SHARE CLASS	ISIN	AMOUNT (USD, GBP, EUR)	AMOUNT IN WORDS
USD INVESTOR	IE00B746L328		
GBP INVESTOR	IE00B61ZVB30		
EUR INVESTOR	IE00B6ZCS539		
USD ADVISOR	IE00B6ZNY252		

BANK REMITTANCE INFORMATION			
	USD	EUR	GBP
Intermediary Bank Name	SOCIETE GENERALE NEW YORK		BARCLAYS BANK LONDON
Intermediary Bank Swift	SOGEUS33		BARCGB22
Final Beneficiary Bank Name	SGSS	SGSS	SGSS
Final Beneficiary Bank Swift	SOGEFRPPAFI	SOGEFRPPAFI	SOGEFRPPAFI
Reference	INVESTOR NAME	INVESTOR NAME	INVESTOR NAME
Account IBAN	FR7630003056050300114021809	FR7630003056050000114021824	FR7630003056050380114021805

INVESTOR'S BANK DETAILS (NOTE: THESE WILL BE USED FOR REDEMPTIONS)	
BANK NAME	
BANK ADDRESS	
ACCOUNT NAME	
SORT CODE	
ACCOUNT NUMBER	
SWIFT / ABA / FED / IBAN	
CURRENCY	
<p>Please note that due to Anti-Money Laundering requirements, payments will only be made to the bank account of the registered investor. Any changes to above details will need to be verified by the Administrator.</p>	

FINANCIAL ADVISOR FEES (APPLICABLE ONLY TO THE USD ADVISOR CLASS)	
NAME OF APPOINTED FINANCIAL ADVISOR	
REGULATORY AUTHORITY	
LICENCE NUMBER	
ONGOING TRAIL FEE (PER ANNUM)	0.5%

AUTHORISATIONS							
Signatories authorised to provide instructions							
Name							
Email Address							
Signature							
Name							
Email Address							
Signature							
Name							
Email Address							
Signature							
Any one of all		Any two of all		Any three of all		All	

Risk Warning as required because the Fund is approved to market in South Africa

Collective investment schemes in securities ("CIS") should be considered as medium to long-term investments. The value may go up as well as down and past performance is not necessarily a guide to future performance. CIS's are traded at the ruling price and can engage in scrip lending and borrowing.

A schedule of fees, charges and maximum commissions is available in the KIID and on request from the Investment Manager or the Manager. There is no guarantee in respect of capital or returns in a portfolio. A CIS may be closed to new investors in order for it to be managed more efficiently in accordance with its mandate. CIS prices are calculated on a Net Asset Value basis, which in relation to any Class is the Net Asset Value divided by the number of Shares in the relevant Class in issue or deemed to be in issue at the relevant Valuation Point subject to such adjustments, if any, as may be required in relation to any Shares or Class. The Net Asset Value of the Fund is comprised of all the assets in its portfolio including any income accruals less any permissible deductions (including brokerage, STT, VAT, auditor's fees, bank charges, service providers' fees, including those of the Depositary, Manager, Administrator and the Investment Manager) from the portfolio. Forward pricing is used. Where foreign securities are included in a portfolio there may be potential constraints on liquidity and the repatriation of funds, macroeconomic risks, political risks, foreign exchange risks, tax risks, settlement risks; and potential limitations on the availability of market information. The investor acknowledges the inherent risk associated with the selected investments and that there are no guarantees. For further details on risks, please see "Risk Factors" in the Prospectus.

## DECLARATIONS AND SIGNATURES

By signing and completing this Application Form, I/We represent, warrant and undertake on a continuous basis to the Fund, the Manager, the Investment Manager and the Administrator as follows:

1. I/we certify that I/we have legal capacity to enter into this agreement. I/we warrant that I/we have the right and authority to make the investment pursuant to this Application Form and that I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Fund, the Manager, the Investment Manager, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being materially accurate in every respect. I/We agree to provide these representations to the Fund, the Directors and the Manager at such times as either of them may request and to provide on request such certifications, documents or other evidence as the Fund, the Directors and/or the Manager may reasonably require to substantiate such representations.
2. If I am/we are acting as agent, representative or nominee for the account of a third party (the "Beneficial Owner"), I/we acknowledge and agree that the agreements, representations and warranties made by me/us herein are also made for and on behalf of (to the fullest extent possible) the Beneficial Owner and I/we represent and warrant that I/we have all requisite power and authority to execute this Application Form and the transactions contemplated hereby and that, in doing so, I/we will not be in breach of any laws or regulations of any competent jurisdiction.
3. I/we hereby acknowledge that I/we have received and considered the current Prospectus and the KIID, that I am/we are applying for Shares of the Class(es) referred to in the Application Form on the terms and conditions set out in this Application Form, the Articles, the most recent Prospectus and the relevant KIID. I/We undertake to observe and be bound by the provisions of the Articles and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s).
4. I/We hereby irrevocably apply for such number of Shares at a price determined in accordance with the Prospectus. I/We acknowledge that the Fund reserves the right to reject any application in whole or in part for any or no reason and that no interest will be paid on any subscription monies returned.
5. I/We warrant that: (a) I/we understand and are willing to accept the risks of investing in the Fund and have the knowledge, expertise and experience in financial matters, and/or have taken independent advice where appropriate, to evaluate the risks of investing in the Fund and to make an informed decision with respect thereto; (b) I am/we are aware of the risks inherent in investing in the Shares and the method by which the assets of the Fund are held and/or traded.
6. I/We acknowledge that the Fund has afforded me/us the opportunity to ask questions and receive answers to my/our full satisfaction concerning the terms and conditions of this offering and to obtain any additional information to the extent the Fund possesses such information or could acquire it without unreasonable effort or expense, necessary to verify the accuracy of the information contained in the Prospectus.
7. I/We acknowledge that the Investment Manager may, in its sole discretion, (i) pay commission to financial intermediaries, as agreed under the section "Financial Advisor Fees" and (ii) that the Investment Manager may make additional payments at its discretion out of fee income received.
8. I/we will rely only on the advice of my/our own professional advisers in relation to all tax, legal and economic considerations in relation to or concerning my application and this Application Form and the proposed activities of the Fund.
9. I/we am/are purchasing Shares for investment purposes and solely for my/our own account and not with a view to nor present intention of reselling them, except in the case of redemption by the Fund of Shares.
10. I/we understand the methods of compensating the Manager and the Investment Manager and the risks associated with such methods.
11. I/We acknowledge and understand that I/we will receive written confirmation from the Administrator of the issue of any Shares within 1 Business Day following the relevant Dealing Day and that Shares will be issued in registered form with title to such Shares being evidenced by entries made in the Fund's register of Shareholders, without any share certificates or other documents of title being issued.
12. In order to enable you, the Manager and/or the Administrator to comply with local 'client due diligence' and 'anti-money laundering' (together, "CDD/AML") requirements under applicable legislation and regulations, I/we hereby:
13. have submitted to the Fund, the Manager or the Administrator with this Application Form complete and accurate certified copies of all CDD/AML verification documentation required to be provided by me/us in my/our capacity as a prospective Shareholder and, if applicable, CDD/AML relating to the Beneficial Owner in accordance with the CDD/AML guidance notes set out in the Appendix "Client Verification Requirements" and have indicated what documentation has been enclosed with my/our Application Form by 'ticking' the relevant boxes in the Appendix "Client Verification Requirements" in the sections applying to me/us; and acknowledge and understand that the Fund, the Manager and/or the Administrator may require additional verification documentation in order to comply with CDD/AML requirements from time to time and undertake to promptly provide to the Manager or the Administrator (as the case may be) any such documentation reasonably requested from time to time.

14. I undertake to notify the Fund, the Manager or the Administrator immediately of any change in my circumstances and/or status and/or any information or documents provided to the Fund, the Manager or the Administrator in connection with my application by way of this Application Form.
15. I/we hereby indemnify, and keep indemnified, the Fund, the Directors, the Manager, the Administrator, the Depositary, the Investment Manager and any other Shareholder (each an "Indemnified Party") against any and all claims, actions, liabilities, costs, or expenses of any kind arising or resulting from any misrepresentation or breach of any representation, warranty, acknowledgement, confirmation, undertaking or indemnity contained in this Application Form or from my failure to disclose any relevant details or provide the Fund, the Manager, the Administrator or the Investment Manager with all information requested by them.
16. I/we hereby indemnify and hold harmless the Indemnified Parties against any claims, demands, proceedings, liabilities, damages, losses, costs and expenses directly or indirectly suffered or incurred, arising from my/our holding of Shares in contravention of the dealing procedures as described in the Prospectus, including my/our failure to pay subscription money within the requisite deadline and/or my/our failure to transfer, or deliver for redemption, my/our Shares, if so directed by the Directors pursuant to the above or any other relevant provisions (including under paragraph "Compulsory Redemptions" of the Prospectus).
17. During the continuance of this Application Form and where I/we am registered as holder of any Shares, if I/we propose to transfer any of my Shares in the Fund, which is permitted under the provisions of the Articles and the Prospectus, I undertake to arrange for the transferee to become bound by the terms of, and assume all my obligations and liabilities under, this Application Form, by signing an adherence instrument in a form required or approved by the Administrator or the Fund, as if that transferee were named as the Shareholder.
18. Notwithstanding clause 16, I acknowledge that I will continue to be bound by the terms of this Application Form if the transferee fails to pay any amount when due under this Application Form.
19. Any notice or communication under this Application Form must be addressed to the relevant party at the address or email as stated in this Application Form.
20. This Application Form may only be varied or amended in writing signed by the Fund, the Manager, the Administrator and the relevant Shareholder.
21. If any term of this Application Form (or part of it) is held void or unenforceable then that term (or part of it) will be treated as severed from this Application Form and the validity of the remainder of that term and all other terms of this Application Form will not be affected in any way.
22. I/we acknowledge and understand that the Administrator will refuse to process redemption requests on non-cleared/verified accounts. In such circumstances, the redemption proceeds shall remain an asset of the Fund and the Shareholder will rank as a general creditor of the Fund until such time as the Administrator is satisfied that its anti-money laundering procedures have been complied with, following which redemption proceeds will be released. I/we acknowledge that the Fund may compulsorily redeem Shares in the event of delay or failure by me/us to produce any information required for anti-money laundering verification purposes.
23. I/we acknowledge and understand that the Directors have the power to compulsorily redeem Shares of an individual investor in certain circumstances, including where their holding is deemed to cause or likely to cause (in the opinion of the Directors), pecuniary, tax, fiscal, regulatory or other material disadvantages to the Fund, which may include circumstances where a Shareholder has not complied with applicable anti-money laundering rules and regulations.
24. This Application Form shall continue until ended by the mutual agreement of the parties or will automatically end, without prejudice to any accrued rights or claims at that time, on the redemption of all (but not part only of) my Shares by the Fund.
25. This Application Form is governed by and interpreted in accordance with the laws of Ireland and the Parties irrevocably submit to the non-exclusive jurisdiction of the Irish courts.
26. I /We confirm that I/we have read the KIID.
27. I am / We confirm I/we are not US Person/s.
28. I am / We confirm I/we are not resident or ordinarily resident in Ireland for the purposes of tax.
- Every applicant applying for Shares on the applicant's own behalf is hereby obliged to notify the Fund or an agent of the Fund appointed for this purpose, as the case may be, in writing if the applicant is or becomes resident or ordinarily resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.
  - Every applicant applying for Shares on behalf of another person is hereby obliged to notify in writing the Fund or an agent of the Fund appointed for this purpose, as the case may be, if the applicant is, or becomes, aware that any person who is beneficially entitled to any of those Shares may

be resident or ordinarily resident in Ireland or may have become resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.

## DATA PRIVACY NOTICE

In accordance with the Data Protection Legislation, the Fund being the data controller for the purposes of this Application Form, must provide you with information on how the personal data that you provide as part of your application to subscribe for Shares will be processed.

Where your details are provided to the Fund as a consequence of your investment in the Fund, then the Fund, acting as a data controller may itself (or through a third party, such as the Manager or the Administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Manager and/or the Administrator will act as a data controller. In connection with this, please note the following:

### 1. Contact details

The Fund, as data controller, has appointed the Manager and the Administrator as data processors. The Fund can be contacted via the Administrator at the following address:

Ranmore Global Equity Fund Plc (the "Fund")  
Ranmore Client Service Team  
c/o Apex Fund Services (Ireland) Limited  
2<sup>nd</sup> Floor, Block 5  
Irish Life Centre  
Abbey Street Lower  
Dublin D01 P767  
Ireland

Tel: +353 1 411 2949

Fax: +353 1 411 2948

### 2. Purposes of processing and legal basis for processing

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares may be processed by the Fund, the Manager or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

#### *Performance of the contract*

- (a) To facilitate the opening of your account with the Fund, the management and administration of your holdings in the Fund and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract with the Fund, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- (b) To update and maintain records and fee calculation;
- (c) Circulating periodic reports relating to the Fund.

#### *Compliance with legal obligation*

- (d) In order to carry out anti-money laundering checks and related actions which the Fund considers appropriate to meet any legal obligations imposed on the Fund relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an ongoing basis, in accordance with the Fund's, the Manager's and the Administrator's anti-money laundering procedures;
- (e) To report tax related information to tax authorities in order to comply with a legal obligation.

#### *Pursuing the legitimate interests of the Fund including:*

- (f) In relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic and trade sanctions, on an on-going basis, in accordance with the Fund's, the Manager's and the Administrator's anti-money laundering procedures;
- (g) Carrying out statistical analysis and market research;
- (h) Recording, maintaining, storing and using recording of telephone calls that you make to and receive from the Fund, the Manager, the Administrator, or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Fund and its affiliates' rights itself or in order to comply with any legal obligation imposed on the Fund, (v) to pursue the Fund's legitimate interests in relation to such matters or (vi) where the processing is in the public interest;

- (i) To monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund to improve its service delivery;
- (j) To disclose information to third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers;
- (k) To retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Fund will no longer process the personal data unless the Fund can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

#### *Consent*

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes of direct marketing, the Fund seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

### **3. Consent to Direct Marketing**

From time to time, one or more of the Fund and/or its delegates and/or its other service providers (which may include, without limitation, the Manager, the Administrator, the Investment Manager and the Depositary) may send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication. You have the right not to receive such information.

If you consent to receive such information and/or marketing material, **please tick the below box:**

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Fund c/o the Administrator at the address above. You also have a right to object to the processing of your personal data for direct marketing purposes.

### **4. Profiling and Screening**

The Fund and its appointed data processors engage in OFAC and politically exposed person screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

### **5. Disclosures to Data Processors and/or Third Parties**

The Fund may disclose your personal information as follows:

- (l) To third parties identified in the Prospectus and to entities that are companies within the same group of companies as such third parties in order to process the data for the above mentioned purposes. These third parties will handle your information in accordance with applicable Data Protection Legislation;
- (m) To other third parties such as the auditors to the Fund or agents of the Manager and/or the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
- (n) To competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

### **6. Transfers abroad**

The disclosure of personal information to the third parties set out above may involve the transfer of data to India and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the Data Protection Legislation. Such countries may not have the same data protection laws as your jurisdiction. The Fund has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Fund.

### **7. Retention period**

The Fund, the Manager and the Administrator will retain your personal information for as long as required for the Fund, the Manager or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund, the Manager or the Administrator retain your personal information.

### **8. Your data protection rights**

Please note that you have the following rights under the Data Protection Legislation in relation to your personal information. In each case, the exercise of these rights is subject to the provisions of the Data Protection Legislation:

- (a) You have a right of access to and the right to amend and rectify your personal data.
- (b) You have the right to have any incomplete personal data completed.



- (c) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund infringes the Data Protection Legislation.
- (d) You have a right to request that your personal information is erased (in certain specific circumstances).
- (e) You have a right to restrict processing (in certain specific circumstances).
- (f) You have a right to data portability (in certain specific circumstances).
- (g) You also have the right to object to processing where personal data is being processed for marketing purposes and also where the Fund is processing personal data for legitimate interests.

**9. Failure to provide personal data**

The provision by you of personal data, as outlined in the section above titled “Purposes of processing and legal basis for processing” is required for us to accept your subscription application and manage and administer your holdings in the Fund and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided with the specified timeframe we may be required to discontinue our business relationship with you.

**For completion by South African investors**

I am aware that the Effective Annual Cost (EAC), Total Expense Ratio (TER) and Transaction Costs (TC) calculations, as prescribed by the Association for Savings and Investments in South Africa (ASISA), have been made available to me at [www.ranmorefunds.com](http://www.ranmorefunds.com) and further details may be requested by contacting [clientservices@ranmorefunds.com](mailto:clientservices@ranmorefunds.com).

SIGNATURES		
<b>Name</b>	<b>Signature</b>	<b>Date</b>
<b>Name</b>	<b>Signature</b>	<b>Date</b>
<b>Name</b>	<b>Signature</b>	<b>Date</b>

Complaints procedure

If you are not satisfied with the services received from Ranmore Global Equity Fund plc or Ranmore Fund Management Ltd, please submit a complaint to the Compliance Officer at Ranmore Fund Management Ltd at [clientservices@ranmorefunds.com](mailto:clientservices@ranmorefunds.com). If an investor is not satisfied with the response received, the complainant has the right to address his or her complaint in relation to Ranmore Global Equity Fund plc to the Financial Services Ombudsman at 3<sup>rd</sup> Floor, Lincoln House, Lincoln Place, Dublin 2, Ireland, or, in relation to a complaint in relation to Ranmore Fund Management Ltd, to the Financial Ombudsman Service, Exchange Tower, London, E14 9SR.

#### CLIENT DOCUMENTATION REQUIREMENTS

The Administrator, on behalf of the Fund, is required to collate certain documents in order to comply with Anti-Money Laundering laws.

The lists are for guidance purposes and the Administrator may request further documentation in order to fulfil its obligations.

The documents will typically not need to be certified. However, where the Administrator deems the investor to be “high-risk”, the Investor may be required to have them certified by a third party. In such circumstances, the Administrator will advise what is required to satisfy its certification requirements.

#### REGULATED FINANCIAL INSTITUTIONS

Where the Applicant is a Regulated Financial Institution regulated by an “Approved Regulator”<sup>1</sup> or is a 100% owned subsidiary of such an entity:

Documentation requirements for entities investing on their own behalf:

- Confirmation investing on own behalf (please complete declaration in Appendix 1)
- Proof of regulation
- Copy of Commercial Register / Certificate of Good Standing
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of the structure chart or chart of shareholders, including the % ownership and control
- Ultimate Beneficial Ownership (UBO) declaration identifying individuals owning / controlling 25% or more of the entity (as set out in Appendix 2)

Additional documentation required from Regulated Entities investing on behalf of a third party:

- Declaration confirming investing on behalf of a third party (please complete declaration in Appendix 1)
- AML Comfort Letter (please complete Appendix 3)

In some instances a Wolfsberg Questionnaire may be required. The Administrator will contact you if so.

<sup>1</sup> Please contact the Administrator (contact details on page 1) for confirmation of Approved Regulators.

#### NOMINEES

Where the Applicant is a nominee account with a Regulated Parent, documentation requirements:

- Proof of Regulation
- AML Comfort Letter (please complete Appendix 3)
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of signatories’ ID where they have signed the Application Form and will place orders
- Copy of the structure chart or chart of shareholders, including the % ownership and control
- Ultimate Beneficial Ownership (UBO) declaration identifying individuals owning / controlling 25% or more of the entity (as set out in Appendix 2)

In some instances a Wolfsberg Questionnaire may be required. The Administrator will contact you if so.

#### LISTED ENTITIES AND SUBSIDIARIES OF LISTED ENTITIES

Where the Applicant is quoted or listed on an “Approved Market”<sup>2</sup> to Stock Exchange or is a 100% owned subsidiary of such an entity:

- Confirmation investing on own behalf (please complete declaration in Appendix 1)
- Proof of listing
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of signatories’ ID where they have signed the Application Form and will place orders
- Copy of Commercial Register / Certificate of Good Standing
- Copy of the structure chart or chart of shareholders, including the % ownership and control
- Ultimate Beneficial Ownership (UBO) declaration identifying individuals owning / controlling 25% or more of the entity (as set out in Appendix 2)

Additional documentation required from subsidiaries:

- Proof of listed parent ownership
- Copy of certificate of incorporation or equivalent for subsidiary
- Copy of Memorandum and Articles of Association or equivalent constitutional documents for subsidiary

<sup>2</sup> Please contact the Administrator (contact details on page 1) for Approved stock exchanges

#### REGULATED PENSION SCHEME

Where the Applicant is a regulated pension scheme in a low-risk jurisdiction; or where the entity is a state pension scheme in a low risk jurisdiction.

*Where information is available online from a reputable source, please provide all of the relevant links at account opening stage.*

- Proof of Regulation
- Copy of articles of the pension scheme. Where available from a reputable online source, please provide the link to same
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of the structure chart or chart of shareholders, including the % ownership and control
- Ultimate Beneficial Ownership (UBO) declaration identifying individuals owning / controlling 25% or more of the entity (as set out in Appendix 2)
- Copy ID and proof of address for any person owning/controlling 25% or more of the investment

#### CORPORATE ENTITIES AND PARTNERSHIPS (GENERAL)

- Confirmation investing on own behalf (please complete declaration in Appendix 1)
- Copy of Certificate of Incorporation / Good Standing
- Copy of Memorandum and Articles of Association or equivalent constitutional documents
- Copy of the latest financial report or equivalent (if not available, copies of IDs and proof of address for two directors may be required along with a letter confirming that the company is financially solvent)
- Copy of the authorised signatory list with specimen signatures on company letterhead
- Copy of signatories' ID where they have signed the Application Form and will place orders
- Copy of the list of Directors / Members / Partners on letterhead paper of the company
- Copy ID for at least 2 controllers (where a partnership – one of these must be the GP)
- Copy of the structure chart or chart of shareholders, including the % ownership and control
- Ultimate Beneficial Ownership (UBO) declaration (as set out in Appendix 2). The declaration must be completed by an authorised individual from the Entity

#### TRUSTS

- Copy of latest trust deed
- Copy Signature List on Company Letterhead
- Copy of signatories' ID where they have signed the Application Form and will place orders
- Identification and verification of the identity of the Settlor and the Trustee according to their legal forms
- Identification and verification of the identity of the Protector if any, according to its legal forms
- Information on the Source of Wealth of the Settlor
- Copy of the structure chart or chart of shareholders, including the % ownership and control of all beneficial owners and controllers
- Ultimate Beneficial Ownership (UBO) declaration (as set out in Appendix 2) identifying all individuals owning or controlling any part of the trust if not available within the trust deed / structure chart
- Copy ID and proof of address (dated within the last 6 months) for any persons owning or controlling any part of the trust



**Appendix 1 – Own Behalf Declaration**

"Company Letterhead"

**{Date}**

**Apex Fund Services (Ireland) Limited,**

2nd Floor, Block 5  
Irish Life Centre  
Abbey Street Lower  
Dublin D01 P767  
Ireland

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

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

Fund: \_\_\_\_\_

Dear Sirs,

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

- on my/our own behalf
- on behalf of our client(s)

Printed name of the investor/authorised signatory

\_\_\_\_\_

Signature \_\_\_\_\_

**Appendix 2 - UBO Letter**

"Company Letterhead"

{Date}

**Apex Fund Services (Ireland) Limited**

2nd Floor, Block 5  
Irish Life Centre  
Abbey Street Lower  
Dublin D01 P767  
Ireland

**Ultimate beneficial owner declaration**

We confirm the below in regards to *[Insert Registered Investor Name]* (the "Applicant"), invested in *[Insert Fund Name]*.

**Section 1 – Please confirm regarding ownership of Applicant**

One or more Natural Person(s) (Individual) owns/controls directly or indirectly 25% or more of the investment as beneficial owner.

**Yes** - provide details of the natural person(s) identified in the space provided below and proceed to section 3.  
 **No** - proceed to section 2.

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

Date of Birth: \_\_\_\_\_

Place of birth:  
(city, country) \_\_\_\_\_

Registered address:  
(street, city, country of residence) \_\_\_\_\_

Nationality (all if several): \_\_\_\_\_

National ID number: \_\_\_\_\_

Percentage Holding (directly or indirectly 25% or more): \_\_\_\_\_

\*Further information on Ultimate Beneficial Ownership information may be requested.

**Section 2 - Please confirm regarding control of the Applicant**

Please provide details of one or more Natural Person(s) (Individual) with significant responsibility for managing the Applicant (e.g. a Chief Executive Officer, Chief Financial Officer, Chief Operating Officer, Managing Member, General Partner, President, Vice President, or Treasurer) or any other individual who regularly performs similar functions.

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

Date of Birth: \_\_\_\_\_

Place of birth:  
(city, country) \_\_\_\_\_

Registered address:  
(street, city, country of residence)

\_\_\_\_\_

Nationality (all if several):

\_\_\_\_\_

National ID number:

\_\_\_\_\_

\*Further information on Ultimate Beneficial Ownership information may be requested.

**Section 3**

Tick this box if at least one of the individuals mentioned in section 1 or 2 (i.e. the Beneficial Owner or Controlling Person) or any authorised individual for the Applicant is considered a "Politically Exposed Person" (PEP)<sup>1</sup>.

Full Name:

\_\_\_\_\_

Date of Birth:

\_\_\_\_\_

Position / name of entity

\_\_\_\_\_

Place of birth (city, country):

\_\_\_\_\_

Registered address:  
(street, city, country of residence)

\_\_\_\_\_

Nationality (all if several):

\_\_\_\_\_

National ID number: \_\_\_\_\_

---

<sup>1</sup> A "Politically Exposed Person" is a person who performs important public functions, is a senior political figure or has been in the last 12 months. It includes but is not limited to heads of state, government and cabinet ministers, judges, senior party functionaries, military leaders, ruling members of royal families, government officials and those directly related to them



If there are any subsequent changes to the ownership or control structure set out above, we shall inform Apex immediately and supply such information as Apex requires in order to establish and prove the submitted details.

We confirm that we are not aware of any activities on the part of the Applicant that lead us to suspect that the beneficial owners are or have been involved in criminal conduct of money laundering. Should we subsequently become suspicious of any such activity then, subject to any legal constraints, we shall inform Apex and/or the relevant regulatory authorities accordingly.

The undersigned declares that the details given are true and correct in regards to the beneficial ownership and control structure of the Applicant.

Yours sincerely,

---

Authorised Signatory

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Authorised Signatory

### Appendix 3 - AML Letter

*Letterhead of the Regulated Entity*

**{Date}**

**Apex Fund Services (Ireland) Limited**

2nd Floor, Block 5  
Irish Life Centre  
Abbey Street Lower  
Dublin D01 P767  
Ireland

**Re: [Name of Investor]**

“Introductory section of the company, its regulated status and registration number”

“Name of the Entity” hereby confirms the following in accordance with the standards of a prudent professional and the applicable laws and regulations:

1. We maintain Anti Money Laundering & Counter Terrorist Financing (“**AML/CTF**”) **policies** applicable to all employees and an on-going training program. We have implemented **related procedures** and controls including a procedure on suspicious activity reports;
2. We perform a **risk assessment of the underlying investor, mandates and proxy holders** using a combination of relevant risk factors prior entering into a business relationship and obtain information on the purpose of the business relationship (**Risk Based Approach**);
3. We perform the **identification and verification** of the identity of the underlying investor based on the initial risk assessment. Where applicable, the identification and verification of the **identity of our clients, beneficial owners, controlling parties and proxy holders** is performed, such that the ownership and control structure of the underlying investors in particular legal persons, trusts and similar legal arrangements are understood and risks are assessed;
4. We confirm the underlying investor is \_\_\_\_\_ and the underlying beneficial owner/s is/are \_\_\_\_\_.
5. We perform **enhanced due diligence on higher risk** underlying investors and their beneficial owners, where applicable, including **politically exposed persons** and, where a relationship is established with countries or territories which do not or insufficiently apply AML-CTF measures;
6. We perform **on-going monitoring** of the business relationship to maintain KYC information current including detection of unusual transactions which are not consistent with the expected business activity, and where necessary, the origin of funds and origin of wealth;
7. We perform **sanctions screening prior the account opening and on an on-going basis** of the underlying investors, their beneficial owners, mandate and proxy holders where applicable. The sanctions lists are amongst others, the resolutions of the United Nations Security Council as well as acts adopted by the European Commission regarding CTF/EU sanction list. [*In addition where applicable, we are required to comply with OFAC sanctions programs and perform sanctions screening against the listings of the US Department of Treasury, Office of Foreign Asset Control (“OFAC”) ]*;
8. We **retain investor due diligence documentation during a period of at least five years** following the end of the business relationship and **will make it available upon written request to Apex Ireland** notwithstanding any applicable rules on confidentiality or local secrecy laws.
9. We confirm that screening is performed on all of our employees and we will provide Apex with information relating to individuals such as full name, date of birth, place of birth, if required.
10. We will inform you immediately if we become aware of any introduced investor(s) engaging in activities which lead us to believe that such introduced investor(s) is involved in money laundering or terrorist activities to the extent permitted by law;
11. We **do not enter into business relationship with shell banks** or accept shell banks as underlying investors or beneficial owners;





12. We acknowledge that Apex Fund Services (Ireland) Limited is relying on us to satisfy their investor due diligence requirements with respect to **[Name of Investor]**.

Yours sincerely,

---

Authorized Signatory

---

Authorized Signatory

KEY INVESTOR INFORMATION

This document provides you with the key investor information about the Fund. It is not marketing material. The information is required by law to help you understand the nature and the risks of investing in this Fund. You are advised to read it so you can make an informed decision about whether to invest.

RANMORE GLOBAL EQUITY FUND PLC (THE "FUND")

USD INVESTOR CLASS (ISIN: IE00B746L328)

The Fund is managed by Carne Global Fund Managers Limited ("The Manager")

**OBJECTIVES AND INVESTMENT POLICY**

The investment objective of the Fund is to outperform the MSCI World Index (as defined in the Prospectus) ("Index") and to provide capital growth over a medium to long-term time horizon. The Fund is actively managed in reference to the Index as the Fund aims to outperform the Index and its performance is compared to the Index in marketing materials. Investments in the portfolio are not specifically selected from the constituents of the Index, hence the Fund's investment policy is in no way constrained by the extent to which its investments and their weightings differ to its Index and the degree of deviation from the Index may be significant. The selected equities' weightings are derived through a bottom-up investment process rather than through deriving their weightings from the Index. The Fund will invest in shares listed on Recognised Markets in accordance with the requirements of the Central Bank of Ireland and which meet the regulatory criteria (regulated, operate regularly, be recognised and open to the public) and which are listed in the Prospectus. It is not expected that the Fund will have a focus in any particular country or sector.

Essential features of the product which a typical investor should know:

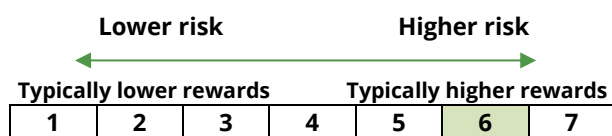
- The Fund will comprise a diversified portfolio of securities of primarily large and mid-sized companies from a range of industry sectors and geographic regions.
- While the Fund's fundamental investment policy is investment in shares, the Fund may also invest up to 10% of its net assets in investments in financial derivative instruments ("FDI") for efficient portfolio management purposes. The Fund is currently permitted to invest in options for efficient portfolio management purposes.
- Shares in the Fund may be redeemed on demand, subject to certain restrictions, on each Business Day.

- The Fund will have discretion to select the shares it will hold, and the Fund aims to outperform the Index.
- The Fund will reinvest any income that it earns from its investments in additional shares/investments.
- The Fund may from time to time hold substantial cash balances.

**Other Information:**

- **Representative KIID:** In addition to describing the USD Investor Class (ISIN: IE00B746L328), the Key Investor Information Document may also be used as a representative of the EUR Investor Class (IE00B6ZCS539), GBP Investor Class (IE00B61ZVB30) and USD Advisor Class (IE00B6ZNY252) of the Fund.
- Investment in the Fund is suitable for investors who expect to maintain their investment over the medium to long-term horizon.
- No currency hedging takes place in any of the share Classes of the Fund. All the Classes of the Fund will derive their currency exposure from the underlying shares held in the portfolio and will not be hedged against its benchmark currency. This creates exposure to currency movements. The difference between the returns in the EUR and GBP Classes and the USD Class is due only to changes in the EUR/USD and GBP/USD exchange rates over the measurement periods.
- For full investment objectives and policy details, please refer to the section of the Prospectus entitled "Investment Objectives and Policies."

**RISK AND REWARD PROFILE**



The Fund is in risk category 6 due to the historic performance of the NAV per share.

- Historical data may not be a reliable indication for the future.
- Risk category shown is not guaranteed and may shift over time.
- The lowest category does not mean "risk free".

Investment in the Fund carries with it a degree of risk (which may change over time) which may not adequately be captured by the risk indicator:

- Market risk - changes in economic conditions can adversely affect the prospects of the Fund.
- Currency risk - the Fund invests in global equities denominated in different currencies, predominantly USD, JPY, EUR and GBP. The underlying currency exposure is not hedged in any of the Classes.
- Operating risks and the risks relating to the safekeeping of assets.
- Custodial risks including safekeeping of assets.
- The Fund's exposure to an instrument or counterparty may be increased as a result of its use of FDI, but such exposure or leverage will not exceed 100% of NAV at any time.

For more details, please refer to the section of the Fund's Prospectus entitled "Risk Factors".

## CHARGES FOR THIS FUND

The charges you pay are used to pay the costs of operating the Fund, which include the costs of marketing and distributing it. These charges reduce the potential growth of your investment.

### One-off charges taken before or after you invest

Entry charge	NIL
Exit charge	NIL

The Entry/Exit Charges are the maximum fees that might be taken from your money prior to investing or before the proceeds of your investment are paid out.

### Charges taken from the Fund over a year (to 31 December 2021)

Ongoing Charges	1.44%
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### Charges taken from the Fund under certain specific conditions

Performance fee	There is no performance fee associated with the Fund.
Financial Intermediary fee (USD Advisor Class only)	0.5% per annum payable over to the Financial Intermediary for shares held in the USD Advisor Class.

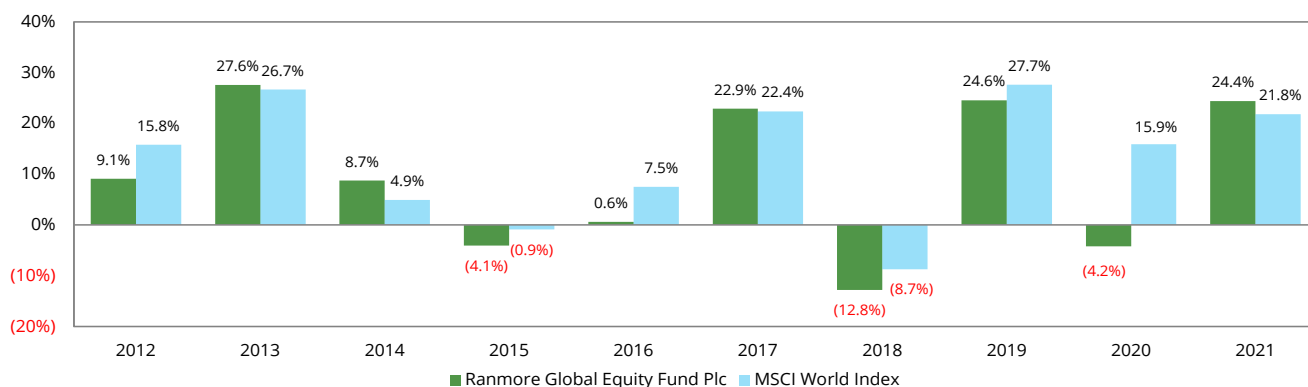
The **ongoing charges** figure is based on the average value of fund assets over the twelve-month period up to, and including, 31 December 2021. This figure may vary from year to year. It excludes:

- Financial Intermediary fees; and
- Portfolio transaction costs.

Average fund assets over the twelve months to 31 December 2021 were \$83.5million.

**For more information about charges, refer to the "Fees & Expenses" section of the Fund's Prospectus, which is available at [www.ranmorefunds.com](http://www.ranmorefunds.com)**

## PAST PERFORMANCE (TO 31<sup>ST</sup> DECEMBER 2021)



- The Fund was launched on 8th October 2008.
- Past returns have limited value as a guide to future performance.
- The returns in this table show annual changes in the Fund's NAV per share of the USD Class. US \$ is the Base Currency of the Fund. The returns include all fees and expenses other than financial intermediary fees that may be applied in the USD Advisor Class.
- The Fund is not managed to closely track the Index. Equities are selected through a bottom-up investment process which result in sector and country weightings being derived rather than because of their weighting in the index.

## PRACTICAL INFORMATION

- The Fund's assets are held with its Depositary, Société Générale S.A.
- Further information about the Fund, copies of the Prospectus, latest annual and semi-annual reports may be obtained free of charge from <https://www.carnegroup.com> and the registered office of the Fund.
- The net asset value per share for the Fund is available on [www.morningstar.co.uk](http://www.morningstar.co.uk) and <http://funds.ft.com/>.
- Remuneration Policy: Details of the remuneration policy of the Fund is available on the Manager's website, [www.carnegroup.com/resources](http://www.carnegroup.com/resources). A paper copy will be available free of charge from the office of the Manager upon request.
- The Fund is subject to Irish taxation legislation which may have an adverse impact on the personal tax of the investor. Investors should consult their own tax advisors before investing in the Fund.
- The Manager may be held liable solely on the basis of any statement contained in this document that is misleading, inaccurate or inconsistent with the relevant parts of the Fund's Prospectus.
- The Fund was originally incorporated in Jersey on 26 June 2008 and was registered in Ireland by way of continuation, as an open-ended investment company, and authorised as a UCITS by the Central Bank pursuant to the UCITS Regulations, and the Fund was registered with the Irish Companies Registration Office on 29 September 2011 and continued in Ireland as a public limited company.
- This USD Class has been selected as the representative Class for all Classes in the Fund. Please refer to the Fund Prospectus for more information.

**Both the Fund and the Manager are authorised in Ireland and regulated by the Central Bank of Ireland.**

**The key investor information is accurate as of 16th February 2022.**

ENTITY SELF-CERTIFICATION FOR FATCA AND CRS

INSTRUCTIONS FOR COMPLETION AND DATA PROTECTION NOTICE

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

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

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

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

**Account holders that are individuals or Controlling Persons should not complete this form and should complete the form entitled "Individual (including Controlling Persons) Self-Certification for FATCA and CRS"**

(Mandatory fields are marked with an \*)

**SECTION 1: ACCOUNT HOLDER IDENTIFICATION**

Account holder name *	(the "Entity")
Country of Incorporation or Organisation	

**CURRENT (RESIDENT OR REGISTERED) ADDRESS \***

Number/Name	
Street	
City/Town/State/Province or County	
Postal/ZIP Code	
Country	

**MAILING ADDRESS (IF DIFFERENT FROM ABOVE):**

Number/Name	
Street	
City/Town/State/Province or County	
Postal/ZIP Code	
Country	

**SECTION 2: FATCA DECLARATION \***

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

(a)	The Entity is a <b>Specified U.S. Person</b> and the Entity's U.S. Federal Taxpayer Identifying Number (U.S. TIN) is as follows:  <b>U.S. TIN:</b>
(b)	The Entity is <b>not a Specified U.S. Person</b> (please also complete Sections 3, 4 and 5)
(c)	The Entity is a <b>US Person but not a Specified U.S. Person</b> (please also complete Sections 3,4 and 5)  Indicate exemption:

**SECTION 3: ENTITY'S FATCA CLASSIFICATION \* (THE INFORMATION PROVIDED IN THIS SECTION IS FOR FATCA, PLEASE NOTE YOUR FATCA CLASSIFICATION MAY DIFFER FROM YOUR CRS CLASSIFICATION IN SECTION 5):**

<b>3.1</b>		<b>Financial Institutions under FATCA:</b>																
3.1		If the Entity is a <i>Financial Institution</i> , please tick one of the below categories and provide the Entity's GIIN at section 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.																
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 <b>Global Intermediary Identification Number ("GIIN"):</b>																
	GIIN																	
3.3		<b>If the Entity is a <i>Financial Institution</i> but unable to provide a GIIN, please tick one of the below reasons:</b>																
I.		The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN.  <b>NOTE:</b> <i>this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i>																
	Sponsor's Name																	
	Sponsor's GIIN																	
II.		<p><b><i>The Entity is an Exempt Beneficial Owner</i></b></p> <p>Please tick and confirm the category of Exempt Beneficial Owner:</p> <table border="1"> <tr> <td>I</td> <td>Government Entity</td> <td></td> </tr> <tr> <td>II</td> <td>International Organisation</td> <td></td> </tr> <tr> <td>III</td> <td>Foreign Central Bank</td> <td></td> </tr> <tr> <td>IV</td> <td>Exempt Retirement Fund</td> <td></td> </tr> <tr> <td>V</td> <td>Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners</td> <td></td> </tr> </table>		I	Government Entity		II	International Organisation		III	Foreign Central Bank		IV	Exempt Retirement Fund		V	Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners	
I	Government Entity																	
II	International Organisation																	
III	Foreign Central Bank																	
IV	Exempt Retirement Fund																	
V	Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners																	
III.		<p><b><i>The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</i></b></p> <p>Indicate exemption:</p>																

IV.	<i>The Entity is a Non-Participating Foreign Financial Institution</i>							
V.	<i>The Entity is an Excepted Foreign Financial Institution</i> Indicate exemption:							
VI	<i>The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN</i> Trustee's name: Trustee's GIIN:							
3.4	<b>Non-Financial Institutions ("NFFE") under FATCA:</b> If the Entity is <b>not</b> a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the categories:							
I.	Active (NFFE)							
II.	Passive (NFFE) (Please tick the box that applies) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;">I</td> <td>Passive (NFFE) with no Controlling Persons that are specified U.S. Persons</td> <td style="width: 40px;"></td> </tr> <tr> <td style="text-align: center;">II</td> <td>Passive (NFFE) with Controlling Persons that are specified U.S. Persons  (if this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (including Controlling Person(s) Self-Certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2)</td> <td></td> </tr> </table>	I	Passive (NFFE) with no Controlling Persons that are specified U.S. Persons		II	Passive (NFFE) with Controlling Persons that are specified U.S. Persons  (if this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (including Controlling Person(s) Self-Certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2)		
I	Passive (NFFE) with no Controlling Persons that are specified U.S. Persons							
II	Passive (NFFE) with Controlling Persons that are specified U.S. Persons  (if this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (including Controlling Person(s) Self-Certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2)							
III.	Excepted (NFFE)							
IV.	Direct Reporting (NFFE) Please provide your GIIN:							

**SECTION 4: COMMON REPORTING STANDARD ("CRS") DECLARATION OF TAX RESIDENCY (NOTE THAT ENTITIES MAY HAVE MORE THAN ONE COUNTRY OF TAX RESIDENCE) \***

**Please indicate the Entity's place of tax residence for CRS purposes** (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TINs <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbersMd.en.347759>

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.

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

You are resident in a Jurisdiction that does not issue a TIN, **or**

You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable, select (A, B or C) and check box below

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

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

#### SECTION 5: ENTITY'S CRS CLASSIFICATION \*

(THE INFORMATION PROVIDED IN THIS SECTION IS FOR CRS. PLEASE NOTE THE ENTITY'S CRS CLASSIFICATION MAY DIFFER FROM ITS FATCA CLASSIFICATION IN SECTION 3 ABOVE). IN ADDITION, PLEASE NOTE THAT THE INFORMATION THAT THE ENTITY HAS TO PROVIDE MAY DIFFER DEPENDING ON WHETHER THEY ARE RESIDENT IN A PARTICIPATING OR NON-PARTICIPATING CRS JURISDICTION.

FOR MORE INFORMATION, PLEASE SEE THE CRS STANDARD AND ASSOCIATED COMMENTARY.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

	<b>Financial Institutions under CRS:</b>	
5.1	If the Entity is a <i>Financial Institution</i> , please tick one of the below categories that applies <b>and</b> specify the type of Financial Institution below.  Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due Diligence in Ireland. <a href="http://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf">http://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf</a>	
I.	A Reporting Financial Institution resident in a participating CRS jurisdiction	
II.	A Financial Institution in a Non-Participating Jurisdiction ( <i>please also tick the box that applies</i> )	



	I	<b>An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution</b> (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in <b>section 6 below</b> and complete separate individual self-certification forms for each of your Controlling Persons)	
	II	<b>An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</b>	
	III	<b>Other Financial Institution</b> , including a Depository Financial Institution, Custodial Institution or Specified Insurance Company	
III.	<b>Non-Reporting Financial Institution under CRS</b> <b>Specify the type of Non-Reporting Financial Institution below:</b>		
		Government Entity	
		International Organisation	
		Central Bank	
		Broad Participant Retirement Fund	
		Narrow Participant Retirement Fund	
		Pension Fund of a Governmental Entity, International Organisation, or Central Bank	
		Exempt Collective Investment Vehicle	
		Trust who trustee reports all required information with respect to all CRS Reportable Account	
		Qualified Credit Card Issuer	
		Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law.	
5.2	<b>Non-Financial Institution ("NFE") under CRS:</b> If the Entity is <i>not defined as a Financial Institution under CRS</i> then please tick one of the below categories confirming if you are an Active NFE or Passive NFE:		
I.	<b>Active NFE</b> – a corporation the stock of which is regularly traded on an established securities market.  Please provide the name of the established securities market on which the corporation is regularly traded:		
II.	<b>Active NFE</b> – if you are a Related Entity of a regularly traded corporation.  Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:  Please provide details of the securities market on which the Entity is regularly traded:		
III.	<b>Active NFE</b> – a Government Entity or Central Bank		
IV.	<b>Active NFE</b> – an International Organisation		

V.	<b>Active NFE</b> – other than those listed in I, II, III, IV above (for example, a start-up NFE or a non-profit NFE)	
V.	<b>Passive NFE</b> - If this box is ticked, please complete section 6.1 for each of the Controlling Person(s) of the Entity and a separate “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form as indicated in section 6.2 for each Controlling Person(s).	

## SECTION 6: CONTROLLING PERSONS

**NB: Please note that each Controlling Person must complete a separate “Individual (including Controlling Persons) FATCA and CRS 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/>

6.1	<p><b>Controlling Person(s) of the Account Holder:</b> If you have ticked a Passive NFE with Controlling Persons in <b>either the FATCA or CRS Classification sections above</b>, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate “Individual (including Controlling Persons) FATCA and CRS Self-Certification” form for each Controlling Person as per 6.2 below.</p> <p><b>Indicate the name of all Controlling Person(s) of the Account Holder:</b></p>
I.	
II.	
III.	
	<p><b>Note: In case of a trust</b>, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), AND any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.</p>
6.2	<p><b>Complete a separate “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form for each Controlling Person listed in Section 6.1</b></p>

## SECTION 7: 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/We acknowledge and consent** 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 form within 30 days where any change in circumstance (for guidance, refer to Irish Revenue or OECD websites) occurs which causes any of the information contained in this form to be incorrect.

**Authorised signature(s) \***

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**Print Name(s) \***

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**Capacity in which declaration is made \***

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**Date (dd/mm/yyyy) \***

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