

## Account Opening Form

Sanlam Global Funds plc

Sanlam Universal Funds plc

MLC Global Multi-Strategy UCITS

### Important Account Opening Information

This **duly signed Account Opening Form** together with full **Anti-Money Laundering (AML) and Counter Terrorist Financing (CTF) Due Diligence Documentation** and a valid **signed FATCA/CRS forms** are required before an account can be opened. The **supporting copy bank statement** must be returned to the Administrator in order to complete the account registration process.

Once signed Account Opening Form and full **AML/CTF Due Diligence Documentation** is received, Northern Trust International Fund Administration Services (Ireland) Limited (the "Administrator") will send the account number confirmation to the authorised contact(s) upon which you can **then** place dealing instructions (see Appendix 1 for dealing information, Appendix 2 for payment details and Appendix 4 for instructions to submit PDF Instructions via email.

Dealing forms are available from the Sanlam Website:

<https://www.sanlam.co.za/ireland/fundrangeanddocumentation/Pages/investor-dealing-forms.aspx>

The account number must be specified on all forms to place transactions. **Subscription instructions and proceeds must not be forwarded until the account number confirmation is issued to you by the Administrator. Please note this may take up to 2 Business Days. Any subscription deal received as part of the account opening form will be rejected.**

You should email or fax this Account Opening Form to the following details:

**Email PDF instructions:** [SanlamTaInstruction@ntrs.com](mailto:SanlamTaInstruction@ntrs.com) *(Please do not send queries to this email address)*

**Facsimile:** +353 1 553 9447

**Incomplete Account Opening Forms (where compulsory information<sup>\*1</sup> and AML/CTF verification documents have not been provided in advance) will be rejected and any subscription monies received will be returned.** If an application is rejected, the Administrator at the cost and risk of the Applicant will, subject to any applicable laws, return application monies or the balance thereof, without interest, expenses or compensation by electronic transfer to the account from which it was paid (less any applicable bank charges where applicable).

*Please note that the administrator no longer requires original documentation.*

*Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

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<sup>1</sup> Please note compulsory data that is required is name, address, date of birth (retail investors), email address, banking account details and Tax details\*

## Account Opening Form

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Defined terms used in this Account Opening Form are those used in the Prospectus (unless the context otherwise requires).

***Please complete the form in blue or black ink and use BLOCK CAPITALS where possible.***

### Administrator Details

#### Postal Address

Northern Trust International Fund Administration Services (Ireland) Limited  
2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon, Limerick, V94 X2N9, Ireland

#### Registered Address

Northern Trust International Fund Administration Services (Ireland) Limited  
George's Court, 54-62 Townsend Street, Dublin 2, D02 R156, Ireland

**Telephone:** +353 1 434 5142/ **Toll Free from South Africa:** 0800004579

**Facsimile:** +353 1 553 9447

**Email PDF instructions:** [SanlamTaInstruction@ntrs.com](mailto:SanlamTaInstruction@ntrs.com)

**Email Queries:** [sanlam.ta@ntrs.com](mailto:sanlam.ta@ntrs.com)

### Key Investor Information Document (KIID)

Please ensure that you have read the Prospectus [and the Key Investor Information Document (the "KIID")] before completing this Account Opening Form. [The KIID is available at the Manager's website <https://www.sanlam.co.za/ireland/Pages/default.aspx>

### Data Protection

#### The Administrator as a Data Processor:

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Fund in accordance with the Irish Data Protection Acts 1988 to 2018 and the General Data Protection Regulation (Regulation 2016/679) (together the "Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with the Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners. Please see the Prospectus for further details.

## Account Opening Form

### The Administrator as a Data Controller:

Northern Trust group's EMEA Data Privacy Notice sets out how Northern Trust group, including without limitation, Northern Trust Fund Administration Services (Ireland) Limited, Northern Trust Global Services SE, Northern Trust Global Services SE, UK Branch and Northern Trust International Fund Administration Services (Guernsey) Limited collectively and individually, will process your personal information where it is acting as a data controller or, with its affiliates as joint data controllers. The EMEA Data Privacy Notice may be updated from time to time and is available at: [www.northerntrust.com/united-kingdom/privacy/emea-privacy-notice/detail](http://www.northerntrust.com/united-kingdom/privacy/emea-privacy-notice/detail)

## Section 1: Registration Details

### Individual/Joint Shareholders

Shareholder 1	Shareholder 2
First Name* <input type="text"/>	First Name <input type="text"/>
Family Name* <input type="text"/>	Family Name <input type="text"/>
Date of Birth* <input type="text"/> (mandatory)	Date of Birth <input type="text"/> (mandatory)
Registered Address -Street 1* <input type="text"/>	Registered Address - Street 1 <input type="text"/>
Street 2* <input type="text"/>	Street 2 <input type="text"/>
Town/Country/Postcode* <input type="text"/>	Town/Country/Postcode <input type="text"/>
Contact Telephone Number * <input type="text"/>	Contact Telephone Number <input type="text"/>
Contact Email Address* <input type="text"/>	Contact Email Address <input type="text"/>
Occupation/Business Activity* <input type="text"/>	Occupation/Business Activity <input type="text"/>

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Shareholder 3	Shareholder 4
First Name <input type="text"/>	First Name <input type="text"/>
Family Name <input type="text"/>	Family Name <input type="text"/>
Date of Birth (mandatory) <input type="text"/>	Date of Birth (mandatory) <input type="text"/>
Registered Address - Street 1 <input type="text"/>	Registered Address -Street 1 <input type="text"/>
Street 2 <input type="text"/>	Street 2 <input type="text"/>
Town/Country/Postcode <input type="text"/>	Town/Country/Postcode <input type="text"/>
Contact Telephone Number <input type="text"/>	Contact Telephone Number <input type="text"/>
Occupation/Business Activity <input type="text"/>	Occupation/Business Activity <input type="text"/>
<b>Mailing address (if different from the address of the first named holder)</b> <input type="text"/>	

**Section 2: Contact Details**

Email correspondence, where provided, will be the preferred method of communication. If no email is provided, correspondence will then be issued via post. SWIFT communication will be issued where possible.

Please note that an email address is compulsory for the welcome email which will contain the account number confirmation required to place transactions.

Please also note that only the email addresses confirmed on this form will be eligible to receive information or documentation, including contract notes and statements, in relation to the Registered Account.

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If the Administrator receives a request from an unauthorised email address, the requester will be asked to submit an instruction to update the account with the additional email address(es). This instruction should be signed in accordance with the Registered Accounts' authorised Signatory list.

EMAIL OR SWIFT CODE (Please ensure the appropriate document is selected to ensure receipt otherwise all options will be selected)	Welcome Email	Contract Note	Statements

By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.	
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**Section 3: Bank Details (this section must be completed)**

**Important information regarding bank accounts for subscriptions and redemptions**

Third party payments are not permitted for redemptions. Please confirm the details of the bank accounts from which and to which payments will be made below.

A copy of a recent bank statement (no more than 6 months old) or a banker’s reference, must accompany the application to evidence the bank account details provided for subscriptions and redemption payments are for a bank account in the registered account name. Accounts in the name of financially regulated entities are exempt from this requirement.

To meet our anti-money laundering and counter terrorist financing obligations under the current legislation, all joint bank account holders will be required to complete identity and verification requirements, even where those joint bank account holders will not be registered holders of shares or units in the fund.

Failure to provide all the bank account information and documentation requested as part of this application may result in a delay in setting up the account and subscribing to the fund.

THIS SECTION MUST BE COMPLETED BY ALL INVESTORS

BANK ACCOUNT DETAILS FROM WHICH SUBSCRIPTIONS WILL BE PAID  
 BANK ACCOUNT DETAILS FOR SETTLEMENT OF REDEMPTION (AND DIVIDEND/DISTRIBUTION PROCEEDS IF APPLICABLE)

**BENEFICIARY BANK INFORMATION**

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN:		
Swift Code / ABA		Reference Code:

**CORRESPONDENT BANK INFORMATION**

**Note:** Required if Payment CCY differs to bank account residency or if your bank account does not support Multi currency payments

Correspondent Bank Name	
Correspondent BIC/SWIFT Code/Sort Code/ABA Code	

## Account Opening Form

Correspondent A/c Name	
Correspondent Account Number / IBAN	
Correspondent Bank Address	

A request to change bank account details **MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCOMPANIED BY** a bank statement or banker's reference (no more than 6 months old) to evidence the new bank account details provided are for a bank account registered account name.

The Administrator accepts no responsibility for the accuracy of the bank account details provided to it by any investor. It is the responsibility of the investor to provide accurate and complete bank account details and any delay in receipt of payments as a result of incorrect, incomplete or unclear bank account details is solely at the risk of the investor. The Administrator is not liable to any investor, the Fund, or any other person for any loss suffered or incurred as a result of any delay in the receipt of such payment arising from any inaccuracy in the bank account details provided above.

NOTES: Please ensure that you have read the Prospectus before completing this Account Opening Form. Defined terms used in this Account Opening Form and Subscription Instruction are those used in the Prospectus (unless the context otherwise requires).

**Section 4: Investor AML Due Diligence Information (section must be completed by all applicants)**

Anti-Money Laundering (AML) and Counter Terrorist Financing (CTF) due diligence requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2021.

**Part I & II**– To be completed by all applicants.

- Guide to completing due diligence.

All applicants to provide AML/CTF due diligence documentation outlined below in order to establish the identity of an investor and verify same to the extent warranted by risk. **AML/CTF documents must be provided in advance before an account can be opened.**

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Outlined below is guidance on the documentation which the Fund/ Manager & Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk. **AML/CTF documents must be provided in advance before an account can be opened.**

The Fund/ICAV/ Manager & Northern Trust (as Administrator) hereby reserves the right to request such further information and/or documentation from investors as is necessary from time to time to satisfy Irish regulatory requirements.

**Individuals (including Joint Account Holders)**

**Where the applicant is an Individual, please provide the following documentation:**

1. Photographic identity document.
2. Proof of address.
3. Source of wealth and source of funds. In general e-mail confirmation or completion of the relevant section of the app will suffice.

**Where the applicant is domiciled in a highrisk jurisdiction, the following is also required:**

4. Due Diligence Questionnaire (incl. Source of Funds and Source of Wealth). Documentary evidence may be required for high-risk investors.

**In the case of joints account holders, please provide documents in respect of all holders.**

**Examples of Photographic Identity Documentation**

- Current passport.
- Current driving licence.
- Current national identity card.
- Identity document with photographic identity issued by a government department.

**Examples of Proof of Address**

- Bank statements/credit card statements.
- Utility bill.
- Household/motor insurance certificate and renewal notices.
- Correspondence from local authorities.
- Correspondence from the revenue commissioners or equivalent.



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- Correspondence from any government body.
- Driving licence which confirms the address provided it has not also been used to satisfy the photographic identity requirement above.
- Payslip or salary advice dated within the previous 6 months.
- Confirmation of address from a lawyer or financial institution.

**Note 1:** All documentation must reflect the current residential address and must be dated within the previous 6 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 6 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).

**Note 2:** In the case of an elderly individual investor residing in a residential home, then written confirmation from the residential home, (identified as being in existence), that the individual is residing there will be deemed sufficient.

**Note 3:** A mobile phone bill can only be accepted as a second Proof of Address.

**Note 4:** The photograph on the proof of identity should be clear

### English Translations

Where due diligence documents are provided in a language other than English, the prospective investor should, at the same time, provide a relevant extract translated by an independent source confirming also the adequacy of the foreign language documents.

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### **Country Risk Ratings**

NTIFASIL applies enhanced due diligence to investors located in a country identified as a high risk third country by the EU.

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# Account Opening Form

## Due Diligence Information - Purpose of the Investment

### Part I

To be completed only by natural persons and legal persons investing in their own name for their own benefit. This information is required to meet our AML/CTF obligations under the current AML/CTF legislation in Ireland and will be used solely for those purposes.

What is the expected annual subscription to the Fund

\_\_\_\_\_

How frequent do you expect to trade in the Fund (please tick): Once-Off Subscription

Once a: Month  Quarter  Year

If more frequently than the options provided, please provide an estimate of frequency:

\_\_\_\_\_

Please indicate the term of your investment (please tick): 3-5 years  5-10 years  10+ years

Natural Persons only:

Source of Wealth (activities that generated total net worth): \_\_\_\_\_

*\*Confirmation of Source of Wealth requires the Subscriber to confirm the bank account from which funds were generated as well as the specific activity that generated the funds subscribed (e.g. salary payments, sale of shares etc.)*

Source of Funds (activity that generated transaction funding): \_\_\_\_\_

*\*Confirmation of Source of Funds requires the Subscriber to confirm the activities that have generated the total net worth of the Subscriber with reasonable collaboration of same (e.g. information and documents such as evidence of title; copies of trust deeds; audited accounts and tax returns).*

## Due Diligence Documentation- Investor Type

### Part II

Please tick investor type below

Individual

Occupation/Business Activity: \_\_\_\_\_

If you, or any beneficial owners, are a Politically Exposed Person. Yes  No

*A Politically Exposed Person ('PEP') means an individual (or family member or close associate of such individual) who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function (e.g. this can include but not limited to: head of state/ government, government / deputy minister, member of parliament, senior official of a political party or member of the supreme court).*

If the application form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature along with due diligence in line with legal type.

# Account Opening Form

## Due Diligence Documentation- Leverage Across Investments

I hereby authorize the Administrator to leverage the due diligence documentation provided for the purposes of compliance with applicable regulatory requirements across all investments which I currently hold/ may hold in the future across all funds which are administered by the Administrator.

Yes  No

## Related Person Detail

Full names of all Related Persons:

- In the case of natural persons, Related Persons means any person authorised to act on behalf of the investor

Please complete the below:

Name	Address	Nationality	Date of Birth

Declaration - I/We declare that the information contained in this form and the attached documentation, if any, is true and accurate to the best of my/our knowledge and belief.

*Please note that the administrator no longer requires original documentation.  
Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

Signature 1 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

Signature 2 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

## Account Opening Form

### Section 5: Distribution / Dividend Option (this section must be completed)

I/We would like our distribution

Re-invested

Paid by Cash

Distributions paid by Cash will be paid to the account specified above. Should you require your distribution to be paid to another account, please enter the banking details below. **Please note if no option is indicated such dividend payments will be reinvested.**

If separate bank details are provided a copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence the bank account details provided for redemption payments are for a bank account in the registered account name.

#### BENEFICIARY BANK INFORMATION

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN NO		
Swift Code		Reference Code:

#### CORRESPONDENT BANK INFORMATION

Note: Required if Payment CCY differs to bank account residency or if your bank account does not support Multi currency payments

Correspondent Bank Name	
Correspondent BIC/SWIFT Code/Sort Code/ABA Code	
Correspondent A/c Name	
Correspondent Account Number / IBAN	
Correspondent Bank Address	

**NOTE: NO THIRD PARTY PAYMENTS ARE PERMITTED FOR REDEMPTIONS**

# Account Opening Form

## Section 6: Agent Information (if applicable)

Agent Name

Agent Address

Contact Name

Contact Telephone Number

Contact Email address

VAT Registration Number

Regulator

Regulator Approval Number

Agents Stamp

Agency Number

Commission Terms agreed with the Fund Promoter

## Account Opening Form

### Section 7: Investor Tax Residency (this section must be completed)

PLEASE TICK (✓) THE RELEVANT BOX

A) NON-U.S. TAXPAYER

B) U.S. TAXPAYER\*

C) ONE OR MORE JOINT APPLICANTS IS A U.S. TAXPAYER

D) NON-U.S. TAXPAYER HOLDING SHARES ON BEHALF OF A U.S. TAXPAYER

If B, C or D has been ticked then each U.S. taxpayer must complete and sign IRS Form W-9 to certify their tax identification number. The form can be downloaded from [www.irs.com](http://www.irs.com). Failure to submit a completed IRS Form W-9 (where applicable) will result in a delay in the settling of redemption/dividend proceeds (no interest will accrue).

\*“U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person”. For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer”.

U.S. Taxpayers will be required to furnish the Administrator with a properly executed IRS Form W-9. Amounts paid to Unitholders who are U.S. Taxpayers as a distribution from the Fund, or as gross proceeds from a redemption of Shares, will generally be reported to Unitholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Unitholders who are U.S. Taxpayers) may subject such Unitholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Unitholders’ U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Unitholders and certain other categories of Unitholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Unitholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

## Account Opening Form

### Investment Undertaking Tax - Declaration of Residence

#### Declaration of Residence inside or outside Ireland (OWN BEHALF ONLY)

Please tick (i), (ii) or (iii) as appropriate

**(i) Irish residents**

I am/we are an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.*

**OR**

**(ii) Exempt Irish residents**

I am/we are an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. ***If this box is ticked, please also complete the declaration of exempt Irish residents below.***

**OR**

**(iii) Non-Irish residents**

I am/we are not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. ***If this box is ticked, please also complete the declaration of residence outside Ireland below.***

#### Declaration of Residence for the beneficial owner inside or outside Ireland (INTERMEDIARIES ONLY)

Please tick (i), (ii) or (iii) as appropriate

**(i) Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the units is an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.*

**OR**

**(ii) Exempt Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. ***If this box is ticked, please also complete the declaration of exempt Irish residents below.***

**OR**

**(iii) Non-Irish residents**

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. ***If this box is ticked, please also complete the declaration of residence outside Ireland below.***

**Authorised signatory:** \_\_\_\_\_

**Authorised signatory:** \_\_\_\_\_

**Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

*Please note that the administrator no longer requires original documentation.*

*Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

## Account Opening Form

### Declaration of residence outside Ireland

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. Terms used in this declaration are defined in the Prospectus.

#### Declaration on own behalf

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

- I am/we are/the company is\* not currently resident or ordinarily resident in Ireland, and
- Should I/we/the company\* become resident in Ireland I will/we will\* so inform you, in writing, accordingly.

\*Delete as appropriate

#### Declaration as Intermediary

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

- who will be beneficially entitled to the shares/units; and
- who, to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident in Ireland.

\*Delete as appropriate

Name and address of applicant: \_\_\_\_\_

\_\_\_\_\_

Signature of applicant or authorised signatory: \_\_\_\_\_ (declarant)

Capacity of authorised signatory (if applicable): \_\_\_\_\_

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

Joint Applicants:

Names: \_\_\_\_\_ Signatures: \_\_\_\_\_

\_\_\_\_\_

*Please note that the administrator no longer requires original documentation.*

*Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

#### IMPORTANT NOTES

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.



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3. If the application form (incorporating the declaration required by the Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

### Return of Values (Investment Undertakings) Regulations 2013<sup>2</sup>

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

Tax Identification Number (TIN) / PPS Number	
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Any one of the following additional documents is required to verify the TIN or PPS Number (a copy is sufficient)

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

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

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

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<sup>2</sup> Only for Irish IUTs

## Account Opening Form

### Section 8: FATCA & CRS (this section must be completed by all applicants)

#### Individual (including Controlling Persons) 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 account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003). 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 advise of these changes promptly.

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

**Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

(Mandatory fields are marked with an \*)

##### \*Section 1: Account Holder/Controlling Person Identification

\*Account Holder / Controlling Person Name: \_\_\_\_\_

##### \*Current Residential Address:

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**Mailing address (if different from above):**

## Account Opening Form

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

### \*Place and Date 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** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

**OR**

- (b)  I confirm that **I am not** a U.S. citizen or resident in the U.S. for tax purposes.

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### \*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax Residencies)

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

- a) You are tax resident in a Jurisdiction that does not issue a (TIN), **Or**,  
 b) You are tax resident 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 a TIN is unavailable, please tick the appropriate box as follows;

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

## Account Opening Form

**Reason B** - No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**Reason C** - The Account Holder is otherwise unable to obtain a TIN (*Please explain why you are unable to obtain a TIN if you selected Reason C*)

### Section 4 – Type of Controlling Person

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

For Joint or multiple Controlling Person(s) please complete a separate *“Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form* for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	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 and consent to the fact 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.

## Account Opening Form

I undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

### **Data Protection - Customer Information Notice:**

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

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

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

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

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

**\*Authorised Signature:** \_\_\_\_\_

**\*Print Name:** \_\_\_\_\_

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

**\*Capacity (if Controlling Person):** \_\_\_\_\_

*Please note that the administrator no longer requires original documentation.*

*Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

## Account Opening Form

### Section 9: Representations and Warranties (this section must be completed by all applicants)

- I/We confirm that I am/we are 18 years of age or over.
- I/We, having received and considered a copy of the current Prospectus, any relevant supplements thereto and the most recent annual and/or semi-annual report of the Fund (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Account Opening Form. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document has been supplied to me/us. I/We confirm that I/We have read the Key Investor Information Document and that any future investments to any other sub-fund or share class of the umbrella fund can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Manager's website at <https://www.sanlam.co.za/ireland/fundrangeanddocumentation/Pages/default.aspx> and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Fund.
- Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder/Unitholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.
- I/We agree that the issue and allotment to me/us of the [Shares/Units] is subject to the provisions of the Prospectus, that subscription for [Shares/Units] will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for [Shares/Units], I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or semi-annual report (if available) thereto.
- I/We certify that I am a/we are eligible to invest in the Fund and I am/we are not acquiring [Shares/Units] for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any [Shares/Units] which I/we may purchase to any person or entity who/which is not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Account Opening Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.
- I/We agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator and the Fund indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Account Opening Form.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.

## Account Opening Form

- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of [Shares/Units] depend on my/our individual circumstances.
- I/We acknowledge the right of Fund at any time to require the mandatory redemption of [Shares/Units] in the circumstances provided for in the Prospectus.

Either:

- i) I am/we are not a U.S. Person(s) (as identified in the prospectus):
  - a) I/We hereby certify that the [Shares/Units] are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer [Shares/Units] in the United States or to or for the benefit of a U.S. Persons; or
- ii) I am/we are a U.S. Person(s) (as defined in the Prospectus) and have completed the Account Opening Form<sup>3</sup> for applicants who are U.S. Persons

In particular: (a) I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the [Shares/Units] have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the [Shares/Units] have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or

to or for the benefit of, directly or indirectly, any U.S. Person; (b) I am not/none of us is a U.S. Person; and (c) I am not/none of us is acquiring the [Shares/Units] for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.

If I/We hold [Shares/Units] on behalf of a U.S. Taxpayer (as defined below) then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Fund with such additional tax information as it may from time to time request.

\*“U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person”. For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer”.

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<sup>3</sup> Client’s US counsel to provide US Person specific Application Form.

## Account Opening Form

- I/We declare that the entity hereby subscribing for [Shares/Units] is neither a Benefit Plan Investor nor investing on behalf of or with any assets of a Benefit Plan Investor as defined below. (Benefit Plan Investors should contact the Fund.) “Benefit Plan Investor” is used as defined in U.S. Department of Labor (“DOL”) Regulation § 2510.3-101(f)(2), and includes (i) any employee benefit plan (as defined in Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”)), whether or not such plan is subject to Title I of ERISA (which includes both U.S. and non-U.S. plans, plans of governmental entities as well as private employers, church plans, and certain assets held in connection with nonqualified deferred compensation plans); (ii) any plan described in Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the “Code”) (which includes a trust described in Code Section 401(a) which forms a part of a plan, which trust or plan is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Section 408 or 408A or an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d) and an education savings account described in Code Section 530); and (iii) any entity whose underlying assets include plan assets by reason of a plan’s investment in the entity (generally because 25 per cent. or more of a class of interests in the entity is owned by plans). Benefit Plan Investors also include that portion of any insurance company’s general account assets that are considered “plan assets” and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.
  
- If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association (“NFA”), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.

### Investment Company Representations:

I/We certify that I/We believe one of the following statements to be true:

- i) I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the “1940 Act”), nor an issuer that, but for an exception from the definition of “investment company” under the 1940 Act, would be an investment company; or
- ii) I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.

*Investment companies with U.S. Person beneficial owners must contact the Administrator.*

- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Account Opening Form.
  
- I am/we are able to bear the economic risk of an investment in the [Shares/Units], including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the [Shares/Units] will not cause such overall commitment to be excessive.
  
- The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the [Shares/Units] to which this application relates given by me/us in written form or by facsimile. I/We hereby agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Administrator acting upon facsimile instructions. The Administrator may rely



## Account Opening Form

conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

- I/We acknowledge that due to anti-money laundering and counter terrorist financing requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We hereby accept such lesser number of [Shares/Units], if any, than may be specified above in respect of which this application may be accepted.
- In respect of joint applicants only, we direct that on the death of one of us the [Shares/Units] for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- I/We confirm that I/we have read in detail the Data Protection Notice appended to this Account Opening Form as Appendix 5. I/We acknowledge that this document provides an outline of my/our data protection rights and the Fund's [and Manager's] data protection obligations as they relate to my/our investment in the Fund.
- I/We shall supply the [Fund] with executed copies of those documents attached, or referred to, in Annex 1<sup>4</sup> (for US and Non-US Taxpayers).
- I/We agree to provide to the Fund, the [Manager and the] Administrator at such times as each of them may request such declarations, certificates, self-certification forms, withholding statements or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax, FATCA and/or CRS<sup>5</sup> regulations and reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund, [the Manager or the] Administrator immediately of any such change and further agree to request the redemption of [Shares/Units] in respect of which such confirmations have become incomplete or inaccurate were requested to do so by the Fund.
- In addition to the Tax Information, I/we agree to promptly provide, and periodically update, at any times requested by the [Manager or the], Administrator with any information (or verification thereof) the [Manager of the] Administrator deems necessary for the Fund to comply with tax reporting requirements, FATCA and/or CRS (including any imposed by any inter-governmental agreement (IGA) or any legislation, law, regulation or other official guidance in relation to any IGA on the implementation of FATCA or CRS). This may include such information as is required to evidence the Fund's (or any

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<sup>4</sup> [Annex 1 – Forms W-8BEN, W-8BEN-E, W-8IMY, W-8ECI, W-8EXP, or W-9 as applicable;]A fund should generally need to collect W-8s from non-US investors only if the fund is tax-transparent; it should generally collect W-9s from US investors Note also collect the Irish Funds approved self certs.

<sup>5</sup> If not defined in the Prospectus, we should include a definition of CRS: (a) the Standard for Automatic Exchange of Financial Account Information for Tax Matters published by the Organisation for Economic Co-operation and Development on 15 July 2014 (the "Standard") (including any commentary thereon; and (b) any treaty, law, regulation or other official guidance of any jurisdiction, or relating to a competent authority agreement (including any commentary thereon and any notification issued pursuant to a multilateral competent authority agreement) or intergovernmental agreement which (in either case) facilitates the implementation of the Standard.

## Account Opening Form

acountholder in the Fund's) status for FATCA or CRS purposes, including (not limited to) whether the Fund is a financial institution, or whether its account holders are US persons for purposes of FATCA, or what the account holder's country of tax residence for purposes of CRS.

- We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Fund, the [Manager and the] Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requirements. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and accurate Information.
- I/We hereby acknowledge that if I/we fail to provide any information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.<sup>6</sup>
- I/We hereby acknowledge that if I/we fail to provide any information and such failure results in the Fund being unable to comply with FATCA, any IGA or CRS, the [Manager] may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Fund and/or Unit Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.

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<sup>6</sup> Should not be applicable unless the fund is tax-transparent i.e. in the event withholding on pass thru payments comes into force

# Account Opening Form

## Signature

I/We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

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

Signed

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

*Please note that the administrator no longer requires original documentation.  
Where a signature is required, instructions must be provided by an authorised signatory or signatories.*

**IMPORTANT –  
RETAIL INVESTORS - IN THE CASE OF ALL JOINT HOLDERS – ALL HOLDERS MUST COMPLETE THIS  
DECLARATION & PROVIDE A VALID PROOF OF IDENTIFICATION**

## Account Opening Form

### Section 10: Appendices

#### Appendix 1 - Dealing Procedure

All dealing instructions in relation to the [Shares/Units] in the Fund must be received before the time(s) specified in the Fund's [Prospectus and/or relevant Sub-Fund Supplement as the case may be, together, the "Prospectus"]. Dealing Instructions received after such times will generally be deemed to have been received for the next relevant dealing day.

No redemption payment may be made until the Account Opening Form has been received and the Administrator is satisfied that all necessary anti-money laundering and counter terrorist financing checks have been completed in full.

#### NOTES:

- Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder/Unitholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.
- If subscribing for [Shares/Units] in more than one Sub-Fund investors must clearly mark the payment reference accounts for each particular Sub-Fund and the sub-account.
- The Base Currency of the Sub-Fund and the designated currency of any [Shares/Units] will be set out in the Prospectus and is also noted above. Applications for [Shares/Units] shall be accepted in the Base Currency of the relevant Sub-Fund or the designated currency of the relevant [Share/Unit] Class. At the discretion of the Fund, applications may be accepted in currencies other than the Base Currency.
- Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant [Share/Unit] Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.

## Account Opening Form

### Appendix 2 - Payment details

#### Sanlam Global Funds plc

	FOR GBP SETTLEMENT	FOR EURO SETTLEMENT	FOR USD SETTLEMENT	FOR CHF SETTLEMENT
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	Barclays Bank	Barclays Bank PLC,		Credit Suisse AG
<b>Intermediary Address:</b>	1 Churchill Place, London E14 5HP	Frankfurt		Giesshuebelstrasse 30 CH-8070 Zurich Switzerland
<b>Intermediary SWIFT Code:</b>	BARCGB22	BARCDEFF		CRESCHZ80A
<b>Intermediary Banks Sort Code:</b>	203253			
<b>Beneficiary Banks Account Number</b>	53529495	0210472800		IBAN: CH1004835098499033010
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
			FedwireABA: 026001122  CHIPS: 0112	N/A
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33	CNORUS33	CNORUS33
<b>Beneficiary account name &amp; number:</b>	Sanlam Global Funds Plc 618421 20019	Sanlam Global Funds Plc 618215 20019	Sanlam Global Funds Plc 248914 20010	Sanlam Global Funds Plc 618546 20019
<b>Reference: Register number and/or order number</b>				

## Account Opening Form

	FOR AUD SETTLEMENT	FOR ZAR SETTLEMENT		
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	National Australia Bank	Standard Bank,		
<b>Intermediary Address:</b>	Melbourne	Johannesburg		
<b>Intermediary SWIFT Code:</b>	NATAAU33	SBZAZAJJ		
<b>Intermediary Banks Sort Code:</b>				
<b>Beneficiary Banks Account Number</b>	1803007471500	7228490		
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey		
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33		
<b>Beneficiary account name &amp; number:</b>	Sanlam Global Funds Plc 618223 20019	Sanlam Global Funds Plc 618256 20019		
<b>Reference: Register number and/or order number</b>				

# Account Opening Form

## Sanlam Universal Funds plc

	FOR GBP SETTLEMENT	FOR EURO SETTLEMENT	FOR USD SETTLEMENT	FOR CHF SETTLEMENT
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	Barclays Bank	Barclays Bank PLC,		Credit Suisse AG
<b>Intermediary Address:</b>	1 Churchill Place, London E14 5HP	Frankfurt		Giesshuebelstrasse 30 CH-8070 Zurich Switzerland
<b>Intermediary SWIFT Code:</b>	BARCGB22	BARCEFF		CRESCHZ80A
<b>Intermediary Banks Sort Code:</b>	203253			
<b>Beneficiary Banks Account Number</b>	53529495	0210472800		IBAN: CH1004835098499033010
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
			Fedwire ABA: 026001122  CHIPS: 0112	N/A
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33	CNORUS33	CNORUS33
<b>Beneficiary account name &amp; number:</b>	Sanlam Universal Funds Plc 619973 20019	Sanlam Universal Funds Plc 619395 20019	Sanlam Universal Funds Plc 249110 20010	Sanlam Universal Funds Plc 619981 20019
<b>Reference: Register number and/or order number</b>				

## Account Opening Form

	FOR AUD SETTLEMENT	FOR ZAR SETTLEMENT		
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	National Australia Bank	Standard Bank,		
<b>Intermediary Address:</b>	Melbourne	Johannesburg		
<b>Intermediary SWIFT Code:</b>	NATAAU33	SBZAZAJJ		
<b>Intermediary Banks Sort Code:</b>				
<b>Beneficiary Banks Account Number</b>	1803007471500	7228490		
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey		
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33		
<b>Beneficiary account name &amp; number:</b>	Sanlam Universal Funds Plc 619403 20019	Sanlam Universal Funds Plc 619965 20019		
<b>Reference: Register number and/or order number</b>				



# Account Opening Form

## CI Global Investments RIAIF ICAV

	FOR GBP SETTLEMENT	FOR EURO SETTLEMENT	FOR USD SETTLEMENT	FOR CHF SETTLEMENT
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	Barclays Bank	Barclays Bank PLC,		Credit Suisse AG
<b>Intermediary Address:</b>	1 Churchill Place, London E14 5HP	Frankfurt		Giesshuebelstrasse 30 CH-8070 Zurich Switzerland
<b>Intermediary SWIFT Code:</b>	BARCGB22	BARCDEFF		CRESCHZZ80A
<b>Intermediary Banks Sort Code:</b>	203253			
<b>Beneficiary Banks Account Number</b>	53529495	0210472800		IBAN: CH1004835098499033010
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
			FedwireABA: 026001122  CHIPS: 0112	N/A
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33	CNORUS33	CNORUS33
<b>Beneficiary account name &amp; number:</b>	Ci Global Investments RIAIF ICAV 618124 20019	Ci Global Investments RIAIF ICAV 618090 20019	Ci Global Investments RIAIF ICAV 248716 20010	Ci Global Investments RIAIF ICAV 618140 20019
<b>Reference: Register number and/or order number</b>				

# Account Opening Form

	FOR AUD SETTLEMENT	FOR ZAR SETTLEMENT		
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	National Australia Bank	Standard Bank,		
<b>Intermediary Address:</b>	Melbourne	Johannesburg		
<b>Intermediary SWIFT Code:</b>	NATAAU33	SBZAZAJJ		
<b>Intermediary Banks Sort Code:</b>				
<b>Beneficiary Banks Account Number</b>	1803007471500	7228490		
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey		
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33		
<b>Beneficiary account name &amp; number:</b>	Ci Global Investments RIAIF ICAV 618108 20019	Ci Global Investments RIAIF ICAV 618116 20019		
<b>Reference: Register number and/or order number</b>				

# Account Opening Form

## MLC Global Multi Strategy UCITS Funds plc

	FOR GBP SETTLEMENT	FOR EURO SETTLEMENT	FOR USD SETTLEMENT	FOR CHF SETTLEMENT
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	Barclays Bank	Barclays Bank PLC,		Credit Suisse AG
<b>Intermediary Address:</b>	1 Churchill Place, London E14 5HP	Frankfurt		Giesshuebelstrasse 30 CH-8070 Zurich Switzerland
<b>Intermediary SWIFT Code:</b>	BARCGB22	BARCDEFF		CRESCHZZ80A
<b>Intermediary Banks Sort Code:</b>	203253			
<b>Beneficiary Banks Account Number</b>	53529495	0210472800		IBAN: CH1004835098499033010
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation	The Northern Trust International Banking Corporation, New Jersey
			FedwireABA: 026001122  CHIPS: 0112	N/A
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33	CNORUS33	CNORUS33
<b>Beneficiary account name &amp; number:</b>	MLC Global Multi-Strategy UCITS Funds Plc 618199 20019	MLC Global Multi-Strategy UCITS Funds Plc 618157 20019	MLC Global Multi-Strategy UCITS Funds Plc 248815 20010	MLC Global Multi-Strategy UCITS Funds Plc 618207 20019
<b>Reference: Register number and/or order number</b>				

## Account Opening Form

	FOR AUD SETTLEMENT	FOR ZAR SETTLEMENT		
<b><u>When making an international payment use the intermediary bank details below:</u></b>				
<b>Intermediary Bank:</b>	National Australia Bank	Standard Bank,		
<b>Intermediary Address:</b>	Melbourne	Johannesburg		
<b>Intermediary SWIFT Code:</b>	NATAAU33	SBZAZAJJ		
<b>Intermediary Banks Sort Code:</b>				
<b>Beneficiary Banks Account Number</b>	1803007471500	7228490		
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey		
<b>Beneficiary Bank SWIFT code:</b>	CNORUS33	CNORUS33		
<b>Beneficiary account name &amp; number:</b>	MLC Global Multi-Strategy UCITS Funds Plc  618173 20019	MLC Global Multi-Strategy UCITS Funds Plc  618181 20019		
<b>Reference: Register number and/or order number</b>				

*(please do not include a dash in the beneficiary account number)*

*\*GBP payments, if you are not able to pay by international payment please contact the Administrator (+353 1 434 5142) for more details.*

**Note:** *Currency subscription settlement times*

GBP 16:00 GMT  
 EURO 14:30 GMT  
 USD 16:00 GMT  
 CHF 10:30 GMT  
 AUD 14:30 GMT VD-1  
 ZAR 08:30 GMT

**Note:** *Monies must come from the account of the investor.*

# Account Opening Form

Please specify your Ordering Institution details for subscriptions\*

Currency \_\_\_\_\_

Correspondent Bank \_\_\_\_\_

Swift/ABA \_\_\_\_\_

Account Number \_\_\_\_\_

## Account Opening Form

### Appendix 3 - Data Protection

*This notice sets out how [the Fund/Manager] and the Administrator will process personal information (as data controllers).*

Where your details are provided to [[Fund name] (the “**Fund**”)] / [[Manager name] (the “**Manager**”) as manager of [Fund name] (the “**Fund**”) as a consequence of your investment in the Fund, then the [Fund/Manager], acting as a data controller, may itself or through a third party (such as Northern Trust Fund Administration Services (Ireland) Limited, Northern Trust Global Services SE or Northern Trust Global Services, UK Branch) (the “**Administrator**”) acting as a data processor in its capacity as the Fund’s 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 Administrator will act as an independent data controller in respect of your personal information. For the avoidance of doubt, the Administrator will not at any time be acting as a joint controller with the Fund.

#### **Purposes of Processing and Legal Basis for processing**

Your personal data may be processed by the [Fund/Manager] or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- 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 which are necessary for the performance of your contract with the Fund, including without limitation the processing of subscription, redemption,[ conversion,] transfer [and additional subscription requests], and the payment of distributions;
- in order to carry out anti-money laundering and counter terrorist financing checks and related actions which the [Fund/Manager] considers appropriate to meet any legal obligations imposed on the [Fund/Manager] relating to, or the processing in the public interest, or to pursue the legitimate interests of the [Fund/Manager] 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 or trade sanctions, on an on-going basis (collectively “**AML/CTF checks**”), in accordance with the [Fund’s/Manager]’s anti-money laundering and counter terrorist financing procedures;
- to report tax related information to tax authorities in order to comply with a legal obligation;
- to monitor and record calls and electronic communications for (i) processing verification of instructions; (ii) investigation and fraud prevention purposes; (iii) for crime detection, prevention, investigation and prosecution; (iv) to enforce or defend the [Fund’s / Manager’s,] [or its affiliates]’ rights, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the [Fund/Manager]; (v) to pursue the legitimate interests of the Fund[, the Manager] in relation to such matters; or (vi) where the processing is in the public interest;
- to disclose information to other third parties, such as service providers of the Fund, auditors, regulatory authorities and technology providers, in order to comply with any legal obligation imposed on the [Fund/Manager] or the **Administrator** or in order to pursue the legitimate interests of the [Fund/Manager] or the Administrator;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund [, the Manager] or the Administrator to improve their service delivery;
- to update and maintain records and carry out fee calculations in order to pursue the legitimate interests of the Fund[the Manager] or the Administrator or in order to comply with any legal obligation imposed on the [Fund/Manager] or the Administrator, and which are necessary to comply with the [Fund’s/Manager’s] or the Administrator’s legal obligations and / or which are necessary for the [Fund’s/Manager’s], the Administrator’s or

## Account Opening Form

the Administrator's affiliates' legitimate interests indicated above and / or where the processing is in the public interest.

### Recipients of Data and International Transfer of Data

The [Fund/Manager] may disclose your personal information as follows:

- to the Fund's service providers, including the Administrator and other third party service providers engaged by the [Fund / Manager] and their affiliates, in order to store or process the data for the above mentioned purposes;
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and
- to the Administrator and / or its affiliates as joint controllers:
  - ◆ to create a single source record, relating to you, which is held, maintained and used by the Administrator and its affiliates as joint controllers in pursuance of the Administrator's, its affiliates' and the Fund's legitimate interests;
  - ◆ where you subscribe to use the Administrator's investor portal functionality, for the purposes of the performance of the Administrator's agreement with you in relation to your use of that portal functionality, including for security in connection with the portal;
  - ◆ to retain AML/CTF and other records of individuals to assist with subsequent screening of them by the Administrator or its affiliates, including in relation to other funds or clients of the Administrator or any of its affiliates in pursuance of the Administrator's, its affiliates' or its clients' legitimate interests and to meet any legal obligations imposed on the Administrator or its affiliates.

In any case where the [Fund/Manager] shares your personal information with a third party data controller (including, as appropriate, the Administrator and its affiliates), the use by that third party of your personal information will be subject to the third party's own privacy policies. The Administrator's privacy policy may be accessed at [www.northerntrust.com/privacy](http://www.northerntrust.com/privacy).

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area ("EEA") in accordance with the requirements of the General Data Protection Regulation or outside the United Kingdom in accordance with the requirements of the UK Data Protection Act 2018 (as amended by the [draft] Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), as amended or replaced from time to time (the "**Data Protection Law**"). Such countries may not have the same data protection laws as your jurisdiction.

Where such countries are not recognised as having an adequate level of data protection by the European Commission or the relevant adequacy regulations made under the UK Data Protection Act 2018 (as amended by the [draft] Data Protection, Privacy and Electronic Communications (Amendments etc.) (EU Exit) Regulations 2019) (as applicable), the [Fund/Manager] (i) has, or has authorised the Administrator as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred; (ii) acknowledges that the personal data will be transferred in accordance with Standard Contractual Clauses or, once adopted, the Binding Corporate Rules. Please contact [Fund/Manager representative] or the Administrator for copies of (i) the Standard Contractual Clauses and / or (ii) the Northern Trust Binding Corporate Rules, once adopted.

### Retention period

The [Fund/Manager] and the Administrator will retain your personal information for as long as required for the [Fund/Manager] or the Administrator to perform its services and / or carry out the purposes for which the data was collected, or perform investigations in relation to same and / or for additional periods where legal/regulatory obligations mandate that the [Fund/Manager] or the Administrator retains your personal information.

# Account Opening Form

## Updates to Personal Data

The [Fund/Manager] will use reasonable efforts to keep your personal information up to date. However, you will need to notify the Fund and the Administrator without delay in the event of any change in your personal circumstances, so that the [Fund/Manager] can keep the personal information up to date.

## Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where the [Fund/Manager] or the Administrator requires your personal information to comply with AML/CTF or other legal requirements, failure to provide this information means the [Fund/Manager] may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint, if you consider that the processing of personal data relating to you carried out by the [Fund/Manager] or its service providers infringes the Data Protection Law:

- with the supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement; or
- where you are, or represent, an Investor in a Fund authorised in the UK, with the UK Information Commissioner's Office, contactable at Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF (or at the relevant regional office for Scotland, Wales or Northern Ireland, details of which are available at <https://ico.org.uk/global/contact-us/postal-addresses/>), casework@ico.org.uk or +44 (0)303 123 1113.

## How to contact us

If you have any questions about our use of your personal information, please contact us at [insert email address] and [insert other contact details].



# Account Opening Form

## Appendix 4 –Terms and Conditions of Service for instructions issued to the Administrator via email

### Terms and Conditions of Service for instructions issued to the Administrator via email

#### Introduction

If you (hereinafter referred to as the “Investor”) wish to send Northern Trust International Fund Administration Services (Ireland) Limited, (the “Administrator”), instructions in respect of the Shares of **Fund** (the “Fund”) in portable document format (“PDF”) or commonly used equivalent scanned form which is transmitted to the Administrator via email, then the terms as set out below will apply to the Investor’s account.

#### **IT IS IMPORTANT THAT THE INVESTOR READS THESE TERMS AND CONDITIONS OF SERVICE CAREFULLY.**

By completing the appropriate documentation (e.g. account opening forms, additional subscription forms, transfer/switch requests or redemption forms) and instructing the Administrator in respect of the Shares of the Fund via email, the Investor will have accepted the following Terms and Conditions of Service.

#### **A. Procedure for PDF Instructions**

1. The email address to submit PDF instructions [SanlamTAInstruction@ntrs.com](mailto:SanlamTAInstruction@ntrs.com) **This address is to be solely used for sending PDF instructions via email in respect of the shares in the Fund.**
2. The Investor shall ensure that the PDF instruction is signed by properly authorised persons, scanned and attached to a **blank email** which is addressed to [SanlamTAInstruction@ntrs.com](mailto:SanlamTAInstruction@ntrs.com)
3. PDF instructions received without the scanned PDF form attached will not be accepted.
4. Upon receipt of an email with the scanned PDF instruction, the Administrator will send the Investor a task number by auto-response.
5. The task number acknowledges receipt of the Investor’s instruction.
6. The task number is not confirmation of placement of the instruction.
7. The Administrator must be in receipt of the instruction prior to the relevant dealing deadline as set out in the Fund’s Prospectus. The Administrator will not be responsible for any delays in receipt.
8. If the Investor does not receive a task number by auto response, it is the Investor’s responsibility to contact the Administrator by telephone (details confirmed within the application form) to confirm that the Administrator has received the Investor’s instruction.
9. If the Investor sends the Administrator a PDF dealing instruction in respect of the shares in the Fund to a mailbox other than specified above, the Administrator will reject the instruction and/or the deal will not be placed. Notification of rejection may not be given prior to the dealing cut off.
10. In cases where the Investor has supplied the Administrator with a “group” email address, the Administrator will have fully discharged its responsibilities where it has sent any communication to this “group” address.
11. The Investor should not send a duplicate instruction by alternative means to the Administrator as this could lead to a duplicate e.g deals being placed in error.
12. The Investor is not obliged to instruct in this manner.

#### **B. General Terms and Conditions of Service :**

1. Email is not a secure form of communication and may be subject to interception, interruption, corruption, distortion, non-delivery, loss, may not be confidential, secure or error free and may contain viruses. Using and relying on email involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents and the Investor will bear the risks if the Investor wishes to conduct the Investor’s dealings using email.
2. The Administrator is authorised and instructed to accept and execute any instructions in respect of shares in the Fund given by the Investor in PDF form or by email. The Administrator will rely conclusively upon, and

## Account Opening Form

neither the Company nor the Administrator shall incur liability in respect of any action taken upon any instruction believed in good faith to be genuine.

3. Neither the Company nor the Administrator will be responsible or liable for the authenticity of instructions received from the Investor or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed by the Administrator to be genuine.
4. Neither the Company nor the Administrator will accept responsibility or liability of any nature whatsoever arising out of or in connection with instructions given by the Investor in PDF form or by email, including without limitation, the Investor's use of an incorrect email address, failure of the Investor's transmission, interception, alteration or corruption of the Investor's email transmission, non-receipt of the Investor's electronic instruction, failure of technical infrastructure, error, omission, interruption, deletion, defect, delay in operation or transmission, computer virus, communication line failure, or any allotment, switch or redemption or other action taken in good faith by the Administrator upon any electronic instruction. In addition, neither the Company nor the Administrator will be liable for any failure to act upon electronic instructions due to equipment failure or for any cause that is beyond the control of the Administrator.