

# PÂRIS BERTRAND STURDZA INVESTMENTS P.L.C.

## APPLICATION FORM

**If you want to apply for shares in Pâris Bertrand Sturdza Investments p.l.c. (the “Company”) please complete this application form.** All applications for Shares must be received by post delivery or fax (with the original to follow by post soon after) by the Administrator no later than the Dealing Deadline specified in the relevant Supplement. The Administrator may accept applications by electronic communication, subject to prior written agreement. The contact details of the Administrator are as follows:

HSBC Securities Services (Ireland) Limited  
1 Grand Canal Square  
Grand Canal Harbour  
Dublin 2  
Ireland  
Telephone: + 353 1 635 6798  
Fax: + 353 1 649 7560  
E-mail: [ifsinvestorqueries@hsbc.com](mailto:ifsinvestorqueries@hsbc.com) (Queries only)

**Terms defined in the Company’s Prospectus shall have the same meaning in this Application Form.**

**This Application Form consists of the following parts, please ensure you read, understand and complete all parts of the Application Form before signing:**

Application Form

Appendix 1 – Client Due Diligence Requirements  
Appendix 2 – Individual Self Certification  
Appendix 3 – Entity Self Certification  
Appendix 4 – Declarations  
Appendix 5 – Declaration of Residence Outside Ireland  
Appendix 6 – Return of Values (Investment Undertakings) Regulations 2013  
Appendix 7 – Common Reporting Standard-Customer Information Notice  
Appendix 8 – Data Privacy Statement

If the holding is to be registered in more than two names (maximum four) each additional holder must provide full details and a signature on a separate piece of paper. **Please use BLOCK CAPITALS.**

**INVESTOR DETAILS FOR ENTITIES**

Registered Name			
Registered Address		Correspondence Address (if different)	
Postcode		Postcode	
Incorporation/Registration Date		Jurisdiction of Incorporation/Registration	
Contact Names			
Telephone Number	(include country code)	Facsimile Number	(include country code)
Email Address			

**We hereby declare that the entity was incorporated under the laws of ..... (country) and that it is not a financial intermediary.**

**INVESTOR DETAILS FOR INDIVIDUALS**

Full Name			
Home Address		Correspondence Address (if different)	
Postcode		Postcode	
Date of Birth		Email Address	
Country of Birth		Facsimile Number	(include country code)
Citizenship		Telephone Number	(include country code)

**I/We declare that I am a/we are private investor(s) who is/are making this application on my/our own behalf and not in any way as representative(s) of any other party.**

**DEALING INSTRUCTIONS**

I/We want to invest in Pâris Bertrand Sturdza Investments plc pursuant to the terms and conditions of the Prospectus of the Company (together with any applicable Supplements).

I/We confirm I/we have received this documentation.  Yes  No

Please complete the subscription amount or number of shares for the relevant fund in which you want to invest in the following table. Applications are accepted in either cash subscriptions or share amount subscriptions.

Fund	Share Class	ISIN	Subscription Amount in Cash	Subscription Amount in Shares
PBS SMART Portfolio	Euro Institutional Class	IE00B7VNF787		
	Euro Retail Class	IE00B5TWCG10		
	Euro Select Institutional Class	IE00B8FLYX43		
	USD Institutional Class	IE00B7L3NC99		
	USD Retail Class	IE00B7V62D22		
	CHF Institutional Class	IE00B58WVS70		
	CHF Retail Class	IE00B82WVM84		
	CHF Select Institutional Class	IE00B8KYH732		
PBS FAST Portfolio	Euro Institutional Class	IE00BSMT1297		
	Euro Select Institutional Class	IE00BSMT1529		
	USD Institutional Class	IE00BSMT1305		
	USD Select Institutional Class	IE00BSMT1636		
	CHF Institutional Class	IE00BSMT1412		
	CHF Select Institutional Class	IE00BSMT1743		
PBS WISE Europe	Euro Institutional Class	IE00BSMT0Z52		
	Euro Retail Class	IE00BSMT0Y46		
	Euro X Class	IE00BFZNM06		
PBS WISE Global	USD Institutional Class	IE00BSMT1180		
	USD Retail Class	IE00BSMT1073		
PBS WEAR	Euro Institutional Class	IE00BFZKN13		
	Euro Retail Class	IE00BFZKNP37		

The minimum subscription and minimum subsequent investment amounts are as follows:

Fund	Share Class	ISIN	Minimum Initial Subscription	Minimum Subsequent Investment
PBS SMART Portfolio	Euro Institutional Class	IE00B7VNF787	EUR 1,000,000	EUR 1,000
	Euro Retail Class	IE00B5TWCG10	EUR 10,000	EUR 1,000
	Euro Select Institutional Class	IE00B8FLYX43	EUR 10,000,000	EUR 1,000,000
	USD Institutional Class	IE00B7L3NC99	USD 1,000,000	USD 1,000
	USD Retail Class	IE00B7V62D22	USD 10,000	USD 1,000
	CHF Institutional Class	IE00B58WVS70	CHF 1,000,000	CHF 1,000
	CHF Retail Class	IE00B82WVM84	CHF 10,000	CHF 1,000
	CHF Select Institutional Class	IE00B8KYH732	CHF 10,000,000	CHF 1,000,000
PBS FAST Portfolio	Euro Institutional Class	IE00BSMT1297	EUR 1,000,000	EUR 1,000
	Euro Select Institutional Class	IE00BSMT1529	EUR 10,000,000	EUR 1,000
	USD Institutional Class	IE00BSMT1305	USD 1,000,000	USD 1,000
	USD Select Institutional Class	IE00BSMT1636	USD 10,000,000	USD 1,000
	CHF Institutional Class	IE00BSMT1412	CHF 1,000,000	CHF 1,000
	CHF Select Institutional Class	IE00BSMT1743	CHF 10,000,000	CHF 1,000
PBS WISE Europe	Euro Institutional Class	IE00BSMT0Z52	EUR 1,000,000	EUR 1,000
	Euro Retail Class	IE00BSMT0Y46	EUR 10,000	EUR 1,000
	Euro X Class	IE00BFZNM06	EUR 10,000	EUR 1,000
PBS WISE Global	USD Institutional Class	IE00BSMT1180	USD 1,000,000	USD 1,000
	USD Retail Class	IE00BSMT1073	USD 10,000	USD 1,000
PBS WEAR	Euro Institutional Class	IE00BFZKN13	EUR 10,000	EUR 1,000
	Euro Retail Class	IE00BFZKNP37	EUR 1,000,000	EUR 1,000

## **PAYMENT METHOD**

Investments must be made by electronic transfer in the currency of the Fund/Class of Investment. Subscriptions must be received in cleared funds by the Administrator no later than two Business Days following the relevant Dealing Day as set out in the relevant Fund Supplement. If payment in full has not been received by the relevant times stipulated above, the application may be refused and the Shares cancelled. I/We hereby indemnify the Company and the Administrator against any loss, liability, cost or expenses arising out of or in connection with failed settlement arrangements.

Please note that the details of both the Intermediary Bank and the Beneficiary Bank must be quoted on your transfer instructions. The details below should assist you with the transfer.

FOR PAYMENTS IN USD		FOR PAYMENTS IN CHF		FOR PAYMENTS IN EUR	
<b>Correspondent Bank:</b>	HSBC Bank USA Inc.	<b>Correspondent Bank:</b>	Credit Suisse AG, Zurich	<b>Correspondent Bank:</b>	n/a
<b>Swift:</b>	MRMDUS33	<b>Swift:</b>	CRESCHZZ80A	<b>Swift:</b>	n/a
<b>ABA Code:</b>	021001088				
<b>Beneficiary Bank:</b>	HSBC Bank Plc, London	<b>Beneficiary Bank:</b>	HSBC Bank Plc, London	<b>Beneficiary Bank:</b>	HSBC Bank Plc, London
<b>Swift:</b>	MIDLGB22	<b>Swift:</b>	MIDLGB22	<b>Swift:</b>	MIDLGB22
<b>Sort Code:</b>	40-05-15	<b>Sort Code:</b>	40-05-15	<b>Sort Code:</b>	40-05-15
<b>Beneficiary Bank A/C Num:</b>	000023868	<b>Beneficiary Bank A/C Num:</b>	CH8904835094326033000	<b>Beneficiary Bank A/C Num:</b>	n/a
<b>FFC to Beneficiary A/C Num:</b>	73213321	<b>FFC to Beneficiary A/C Num:</b>	73213356	<b>Beneficiary A/C Num:</b>	73213348
<b>Beneficiary Name:</b>	HSSI fbo Paris Bertrand Sturdza SHS Collection a/c USD	<b>Beneficiary Name:</b>	HSSI fbo Paris Bertrand Sturdza SHS Collection a/c CHF	<b>Beneficiary Name:</b>	HSSI fbo Paris Bertrand Sturdza SHS Collection a/c EUR
<b>IBAN:</b>	GB34MIDL40051573213321	<b>IBAN:</b>	GB59MIDL40051573213356	<b>IBAN:</b>	GB81MIDL40051573213348

#### BANK DETAILS – REDEMPTION PAYMENTS

Please provide bank details for redemption payments. All payments will be made by electronic transfer.

Name of Beneficiary Bank:	Name of Correspondent Bank:
Full Postal Address of Beneficiary Bank:	Full Postal Address of Correspondent Bank:
SWIFT/Sort Code:	SWIFT/Sort Code:
Account Name:	
Account Number/IBAN:	

#### BANK DETAILS – DIVIDEND PAYMENTS

If different to the above please provide bank details for dividend payments. All payments will be made by electronic transfer.

Name of Beneficiary Bank:	Name of Correspondent Bank:
Full Postal Address of Beneficiary Bank:	Full Postal Address of Correspondent Bank:
SWIFT/Sort Code:	SWIFT/Sort Code:
Account Name:	
Account Number/IBAN:	

Please tick the box if you wish to receive dividends, if declared.

If this box is left blank, dividends, if declared, will be automatically reinvested.

**Bank Details Notes**

1. A correspondent bank may be required where the currency being paid is to a country other than the country of origin e.g. USD being paid to a European bank must be routed through a bank based in the United States.
2. Payments will be made in the relevant currency denomination of the share class.
3. All redemption proceeds will be paid to the above bank details, unless specified at the time of the redemption and authorised to the satisfaction of the Administrator.

**DATA PROTECTION STATEMENT**

In accordance with the provisions of the applicable Irish data protection law, and, as of 25 May 2018, the provisions of the Regulation no. 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (together the "**Data Protection Law**"), I/we are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Company, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "**Personal Data**"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Company (a "**Data Controller**") as further described under the Data Privacy Statement attached at Appendix 8 of this Application Form (or otherwise available upon request).

**IMPORTANT BEFORE SIGNING PLEASE MAKE SURE YOU HAVE READ, UNDERSTOOD AND COMPLETED THE APPENDICES TO THE APPLICATION FORM**

**SIGNATORIES**

**Authorised Signatures** (all applicants must sign)

First Signature:	Print Name:	Date:
Second Signature:	Print Name:	Date:
Third Signature:	Print Name:	Date:
Fourth Signature:	Print Name:	Date:

## Checklist for Completion

Application Form	
Appendix 1 – Client Due Diligence Requirements	
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## APPENDIX 1 - CLIENT DUE DILIGENCE REQUIREMENTS

### **Corporate Applicants**

#### **Please supply the following:**

- Certified\* copy of Certificate of Incorporation (or equivalent); and or
- Certified\* copy of Memorandum and Articles of Association (or equivalent document showing registered corporate office); and or
- Certified\* copy of latest audited financial statements
- Certified\* copy of the corporation or entity's list of authorised signatories;
- List of all directors' names, occupations, residential and business addresses, dates of birth, place of birth and citizenship;
- Identification as per individual investors for two directors or one director and one signatory;
- Identification as per individual investors of beneficial owners who own more than 25% of the share capital or voting rights; and
- Tax residency self-certification (refer to Appendix 3).

### **Partnership or Trust Applicants**

#### **Please supply the following:**

- List of names, date of birth, place of birth, citizenship, occupation and permanent addresses of all partners/trustees/beneficiaries/ where ascertainable settlors;
- Identification as per individual investor for two Trustees or one Trustee and one authorised signatory / General Partner or two partners and one authorised signatory;
- Identification as per individual investors of beneficial owners who own more than 25% of the share capital or voting rights;
- Evidence of the above partners'/trustees' authority to make investments in the Fund/Company on behalf of the partnership/trust;
- Certified\* authorised signatory list;
- Certified\* copy of partnership agreement/trust deed; and
- Tax residency self-certification (refer to Appendix 3).

### **Institutional Applicants**

#### **e.g. pension fund and local authority, please supply the following:**

- Certified\* authorised signatory list and properly authorised mandate of persons completing the form to act on behalf of the applicant;
- Documentary evidence of the regulatory status of the applicant (e.g. Inland Revenue Approval), please contact the Administrator for further details of documents required;
- Details of beneficiaries (where ascertainable); and
- Tax residency self-certification (refer to Appendix 3).

### **Individual Investors**

#### **Please supply the following:**

- (a) Certified\* copy of your passport, national identity card, armed forces identity card or ID issued by a Government body showing the photograph and signature;
- (b) One form of address verification: for example original or certified\* copy of a recent utility bill or bank statement (no more than 6 months old);
- (c) Tax residency self-certification (refer to Appendix 2); and
- (d) Where you are a PEP confirmation of your source of wealth is required noting the definitions and requirements detailed in Clause 3 above.

### **Irish Residents**

**(d) In addition to (a), (b) and where applicable (c) where you are an Irish resident investor, please provide one form of document on which your tax reference number is printed. The list of documentation that may be used to verify the tax reference number as required under Regulation 5(4)(a) of the Return of Values (Investment Undertakings) Regulations 2013 includes:**

P60; P45; P21 Balancing Statement; Payslip; 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 or any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contains the person's name, address and tax reference number/PPPS number.

The same procedures should be applied to joint account holders as for individuals.

\*All certified copies should be certified by a notary public, solicitor, chartered or certified public accountant, practicing solicitor, embassy consular staff, police officer or FATF regulated financial institution or any person so authorised under the laws of your country or domicile (except that authorised signatories lists may be certified by the company secretary). Copies must be marked "true copy of original document" and stamped by the certifying party.

### **Associated Parties**

If you are an Associated Party (defined as a Director/ Governor/ Trustee/ Official/ Board Members/ Partners/ Members or equivalent) who exercises control over the management of the entity, please complete the following and sign the declaration below

- **Name:** \_\_\_\_\_
- **Address:** \_\_\_\_\_
- **Nationality:** \_\_\_\_\_
- **Date of Birth:** \_\_\_\_\_

### **Beneficial Owners**

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity. Please complete either A or B as applicable and sign below

**A. There are no Ultimate Beneficial Owners owning 25% or more at time of subscription \_\_\_\_\_**

**Or**

**B. If there are Ultimate Beneficial Owner(s) owning 25% or more at time of subscription, please provide the following:**

- **Name**
- **Address**
- **% Ownership**
- **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.**

**Signature** \_\_\_\_\_

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

**Date** \_\_\_\_\_

Additional details should be supplied on a separate sheet of paper. The Administrator should be notified of any changes in the named individuals.



## APPENDIX 2 – INDIVIDUAL SELF CERTIFICATION FOR FATCA AND CRS

### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

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

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly. Please note that where there are joint or multiple account holders each investor is required to complete a separate Self-Certification form.

**Sections 1, 2, 3 and 5 must be completed by all investors.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.** For further guidance see. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

(Mandatory fields are marked with an \*)

### Section 1: Investor Identification

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

**Current Residential Address\*:**

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

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

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

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

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

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

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

**Town or City of Birth\*:** \_\_\_\_\_ **Country of Birth\*:** \_\_\_\_\_

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

**Section 2: Declaration of U.S. Citizenship or U.S. Residence for Tax purposes\*:**

Please tick either (a) **or** (b) and complete as appropriate.

(a)	<input type="checkbox"/>	I confirm that [ <b>I am</b> ]/[ <b>the investor is</b> ] a U.S. citizen and/or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identifying number (U.S. TIN) is as follows:  _____
<b>OR</b>	<input type="checkbox"/>	
(b)	<input type="checkbox"/>	I confirm that [ <b>I am not</b> ]/[ <b>the investor is not</b> ] a U.S. citizen or resident in the U.S. for tax purposes

**Section 3: CRS Declaration of Tax Residency (please note you may chose more than one country)\***

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

Country of Tax Residency	Tax ID Number

**Note:** provision of a TAX ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN.

**Section 4: Type of Controlling Person**

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

For joint or multiple Controlling Persons please complete a separate Self-Certification Form for each Controlling Person.

Please Confirm what type of Controlling Person applicable under CRS that applies to you/the investor 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 that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

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

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

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

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

## APPENDIX 3 – ENTITY SELF CERTIFICATION FOR FATCA AND CRS

### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

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

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

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

(Mandatory fields are marked with an \*)

Investors that are individuals should not complete this form and should complete the form entitled "Individual Self-Certification for FATCA and CRS".

### Section 1: Investor Identification

**Investor Name\*:** \_\_\_\_\_ (the "Entity")

**Current Registered Address\*:**

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

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

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

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

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

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

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

**Town or City of Birth\*:** \_\_\_\_\_ **Country of Birth\*:** \_\_\_\_\_

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

### Section 2: FATCA Declaration Specified U.S. Person:

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

(a)	<input type="checkbox"/>	The Entity <b>is</b> a <i>Specified U.S. Person</i> and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:  <b>U.S. TIN:</b> _____ . Or
(b)	<input type="checkbox"/>	The Entity is <b>not</b> a <i>Specified U.S. Person</i> (please also complete Sections 3, 4 and 5). Or
(c)	<input type="checkbox"/>	The Entity is a US Person but <b>not</b> a <i>Specified U.S. Person</i> (please also complete Sections 3, 4 and 5).

**Section 3: Entity's FATCA Classification\* (the information provided in this section is for FATCA, please note your classification may differ from you CRS classification in Section 5):**

**3.1 Financial Institutions under FATCA:**

If Entity is a **Financial Institution**, please tick one of the below categories, and provide your FATCA GIIN at 3.2.

I.	Irish Financial Institution or a Partner Jurisdiction Financial Institution	<input type="checkbox"/>
II.	Registered Deemed Compliant Foreign Financial Institution	<input type="checkbox"/>
III.	Participating Foreign Financial Institution	<input type="checkbox"/>

**3.2** Please provide your *Global Intermediary Identification number (GIIN)* \_\_\_\_\_

**3.3** If the Entity is a **Financial Institution** but unable to provide a GIIN, please tick one of the below reasons;

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

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

If the Entity is not a Financial Institution, please tick one of the following categories:

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

**Section 4: CRS Declaration of Tax Residency (please note that you may choose more than one country)\***

Please indicate your/the investor's country of tax residence for CRS purposes. If resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ("TIN").

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

Country of Tax Residency	Tax ID Number

**Section 5: Entity's CRS Classification\* (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3):**

For more information please see the CRS Standard and associated commentary:

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

**5.1 Financial Institutions under CRS:**

If the Entity is a Financial Institution, please tick one of the below categories:

I.	Financial Institution under CRS (other than (II) below)	
II.	An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (if this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate Individual Self-Certification form for each Controlling Person**)	

**5.2 Non Financial Institutions under CRS:**

If the Entity is a Non Financial Institution, please tick one of the below categories:

I.	Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.	
II.	Active Non-Financial Entity – a Government Entity or Central Bank	
III.	Active Non-Financial Entity – an International Organisation	
IV.	Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	Passive Non-Financial Entity (if this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	

\*\*Controlling Person's:

NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form. If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.

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

**Section 6: Declarations and Undertakings**

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I /We undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance occurs, which causes any of the information contained in this form to be incorrect.

**Authorised Signature(s)\*:**

\_\_\_\_\_

**Print Name(s)\*:**

\_\_\_\_\_

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

\_\_\_\_\_

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

## APPENDIX 4 - DECLARATIONS

### Legal Persons Declaration

I/We hereby declare that we are:-

1. a legal person not being an individual and not acting in a representative capacity on behalf of an individual; or
2. an entity liable to corporation tax in Ireland or an equivalent tax in another country; or
3. an undertaking for collective investment in transferable securities ("UCITS") or have elected for the purpose of the EU Savings Directive to be treated as a UCITS.

If the Legal Person is unable to make any of these declarations please contact the Administrator.

### Natural Persons Declaration

1. I/We acknowledge that I/we will provide a certified copy of our Passport or a certified copy of a national identity card which must display a photograph, signature and give details of my/our date and place of birth. I/We will also provide details of my/our tax identification number if this does not appear on the Passport or other identity card provided. Documentary proof such as a certificate of tax residency from a relevant tax authority may also be required. These items are in addition to providing an original or certified proof of my/our permanent resident residential address which may be in the form of an utility bill which is no more than 6 months old.
2. I/We agree undertake to ensure all such information is up to date and will notify the Administrator of any change in the information provided as soon as reasonably possible.
3. I/We agree to indemnify and hold harmless the Administrator in its capacity as "Paying Agent" against any loss liability costs or expenses which may be incurred by the Administrator arising out of or in connection with my /our failure to provide the information required. I/We acknowledge that Shares may not be issued and repurchase proceeds may be frozen until all required information and documentation required by the Administrator pursuant to the EU Savings Directive is provided.

### Electronic Dealing and Communications Declaration

In the event that I/we and subject to prior written agreement with the Administrator decide to send subsequent applications, redemptions and instructions electronically (not including by way of facsimile) acknowledge as follows:

1. I/We acknowledge that electronic communications (not including facsimile) whether by email, SWIFT messaging or other electronic means may be an unsafe method of communication and may be lost, subject to delays, interference by third parties, viruses and their confidentiality, security and integrity cannot be guaranteed. Further, I/we acknowledge and understand that electronic communications (not including facsimile) cannot be guaranteed to be error-free.
2. I/We hereby confirm that I/we will not hold the Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian or any of their directors, officers, employees or agents liable now, or at any time for any loss, damage, financial or otherwise which I/we may suffer arising out of or in connection with any interception or breach of confidentiality or integrity or arising out of or in connection with any delays, inaccuracy, imperfection, lack of quality, ineffective transmission, viruses, alteration or distortion howsoever arising affecting such electronic communication (not including facsimile).
3. I/We undertake to keep each of the Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian indemnified at all times against, and to save each of the Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against the Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian or suffered or incurred by the Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian and which shall have arisen either directly or indirectly out of or in connection with me /us sending electronic communications (not including facsimile). I/We acknowledge and understand that electronic communication (not including facsimile) received from us will not be verified by you.
4. I/We confirm that I/we, shall not send or transmit or arrange for any sending or transmitting on our behalf, any electronic communication (including facsimile) which contains a virus or other media damaging to your property or computer systems or which may be defamatory, libellous, slanderous, obscene, abusive, offensive, menacing or immoral and will abide with all relevant laws and regulations and international conventions or treaties governing the content of and the transmission of such electronic communications.
5. In the event that I/we are unable to send you instructions by electronic transmission due to either a failure in or shut-down of my/our or the Administrators' or other relevant parties internet system whether temporary or otherwise, I/we will send you instructions by facsimile.
6. The Company, the Investment Manager, the Management Service Provider, the Administrator and the Custodian may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction, electronic instructions, electronic subscriptions and redemptions or other instrument (not including facsimile) believed, in good faith, to be genuine.

In respect of all other communications sent electronically by and on behalf of the Company:

7. I/we hereby consent to electronic delivery of notices, communications, reports, fund documentation to the e-mail address(s) provided in this Application Form and in consideration of the Administrator issuing notices, communications and reports electronically.
8. I/we hereby agree as follows: use of electronic communications shall be subject to the requirements and authentication procedures of the Administrator, I/we acknowledge that it is not possible to secure and maintain confidential electronic communications ("Electronic Communications"), that any such Electronic Communications can be delivered to a wrong address or that delivery of the same may not be timely; that any such Electronic Communications are capable of being intercepted by third parties at any time and accordingly that the confidentiality, security and integrity of any Electronic Communications cannot be assured.
9. I/we shall not hold the Company or the Administrator or any director, officer, employee or agent thereof, liable now or at any time for any damage, financial or otherwise, which I/we may suffer as a result of any of the matters outlined above with respect to any Electronic Communication affected between the Company or the Administrator and me/us or any person or entity that we authorise to receive information relating to my / our holding in the Company, or otherwise by reason of any third party receiving, gaining access to, obtaining, altering or distorting any information or documentation transmitted via Internet Communications or by reason of any other inaccuracy, imperfection, lack of quality, ineffective transmission, delay, alteration or distortion howsoever arising affecting such Electronic Communications or in respect of any other document, financial data or other information prepared, circulated or otherwise processed by the Administrator.
10. I/we shall indemnify and keep indemnified the Company and the Administrator and any of its directors, officers, employees or agents against all losses, costs, damages, claims, demands and expenses (including claims or other demands whatsoever taken or made by any internet service provider) which any of them may suffer incur or sustain by reason of, sending Electronic Communications to any party and/ or receiving Electronic Communications from any party and / or dealing with any Electronic Communications in respect of me/us.

#### **General Declarations**

1. I/We understand that Shares in Pâris Bertrand Sturdza Investments plc are issued in registered form, proof of title is evidenced by reference to the Register and Share Certificates will not be issued.
2. I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus or a benefit plan as defined in the US Employee Retirement Income Security Act 1974 (as amended, updated or replaced from time to time) ("ERISA Plan") and that I/we are not acting on behalf of a US Person(s) or an ERISA Plan, nor do we intend selling or transferring any Shares which we may purchase to any person who is a US Person or to an ERISA Plan. Should I/we become resident or ordinarily resident in the US or an ERISA Plan I/we will bring this fact to the immediate attention of the Company and the Administrator.
3. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.
4. Furthermore, I/We hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.
5. In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company, the Investment Manager and the Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Investment Manager, and the Administrator may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Investment Manager and the Administrator (as applicable). If relevant, I/we agree to notify the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Investment Manager and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Investment Manager and/or the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Investment Manager or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our

entire holding in the Company, and that the Company and the Custodian are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company and the Custodian against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

6. I/We confirm that we have accurately and correctly completed the relevant self-certification form included herein. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Investment Manager and/or the Administrator immediately of any such change and agree to immediately take such action as the Company, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.
7. I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the Company's compliance with FATCA and CRS requirements.
8. I/we hereby acknowledge that we should consult our own tax advisers about the applicability of FATCA, CRS and any other reporting requirements with respect to our own situation.
9. I/We, the undersigned, agree that the Administrator may process personal data relating to me/us for the purposes of providing services to the Company, performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the Company and to third parties and transferring them internationally, all as more fully described in the Administrator's data privacy statement, a copy of which is available at <http://www.hsbcnet.com/gbm/global-utilities/privacy-data-protection.html>.
10. I/We warrant that I/we have the right and authority to make the investment pursuant to this Application Form, whether the investment is my/our own or is made on behalf of another person or entity and that I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby agree to indemnify the Company, the Custodian, the Administrator and other Shareholders for any loss suffered by them arising out of or in connection with this warranty/representation not being true in every respect.
11. I/We, hereby confirm that the Company, the Directors and the Administrator are each authorised and instructed to accept and execute any instructions including subscription and/or redemption instructions, instructions relating to payment of redemption proceeds, given by me/us initially in original format. I/We, hereby also acknowledge that any subsequent instructions including subscription and/or redemption instructions, instructions relating to payment of redemption proceeds can be sent to the administrator by facsimile. I/We acknowledge that facsimile instructions are not secure means of communication, and are aware of the risks involved. I/We hereby indemnify the Company, the Directors and the Administrator and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them arising out of or in connection with any of them acting on facsimile instructions. The Company, the Directors and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/We acknowledge that if I/we request the Administrator to pay redemption proceeds to an account or bank the details of which differ from those held on file I / we understand that payment cannot be affected until such time as an facsimile instruction requesting this change is forwarded by me/us to the Administrator, together with any other documentation required by the Administrator, including original documentation required for anti-money laundering purposes. Similarly, I/we understand that while an initial application will be actioned upon receipt of a fax I/we undertake to confirm this by forwarding an original copy of the completed application form used on initial subscription. I/We acknowledge that redemption proceeds will not be paid out until the original of the application form used on initial subscription together with all documentation required by the Company and the Administrator, including all documentation required for anti-money laundering purposes has been received by the Administrator.
12. I/we hereby acknowledge that I/we have been provided with the current key investor information document(s) ("KIID") in issue for the relevant Class prior to subscribing for that Class in a Fund. I/we hereby acknowledge that the current key investor information document(s) in issue for the relevant Class may, at the discretion of the Directors, be provided to me/us in paper copy or by means of the [www.pbsinvestments.com](http://www.pbsinvestments.com) website. I/we hereby further acknowledge that should the Directors, Investment Manager or Management Service Provider provide the current key investor information document(s) in issue for the relevant Class by means of the [www.pbsinvestments.com](http://www.pbsinvestments.com) website, I/we may request a paper copy to be delivered to me/us free of charge. I/we hereby further acknowledge that prior to making any further subscription (including any conversion) for the relevant Class in the relevant Fund or other Classes in other Funds, the relevant and current key investor information document(s) in issue for the relevant Class will be provided to me/us by either requesting from the Company, the Investment Manager or the Management Service Provider that a paper copy be delivered to me/us or via the [www.pbsinvestments.com](http://www.pbsinvestments.com) website, if any.
13. I/We, having received and considered a copy of the Prospectus and KIID current at the date of this subscription or as supplemented from time to time, hereby confirm that this Application is based solely on the Prospectus, KIID and material contracts referred to therein, together (where applicable) with the most recent Annual Report and Accounts of the Company and (if issued after such report and accounts) its most recent Unaudited Semi-Annual Report. I/We hereby undertake to observe and be bound by the provisions of the Memorandum and Articles of Association of the Company and apply to be entered in the Register of Shareholders as the holder/holders of the Shares issued in relation to this Application.
14. I/We hereby acknowledge that I/we have read and fully considered and understand the Prospectus in connection with this Application for Shares in the Company and that I/we have evaluated our investment in the Company in the

light of our financial condition and resources. I/We confirm that I/we am/are aware of the risks involved in investing in the Company and that an inherent risk in this investment is the potential to lose all of our investment. I/We hereby further acknowledge that I/we are applying for Shares on the basis of the Prospectus and that I/we have not relied on any representations or statements made or information provided by or on behalf of the Company other than information contained in the Prospectus.

15. I/We agree to provide these confirmations to the Company at such times as the Company may request, and to provide on request such certifications, documents or other evidence as the Company may reasonably require to substantiate such representations.
16. I/We agree to notify the Company immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to sell or to tender to the Company for redemption a sufficient number of Shares to allow the confirmation to be made.
17. I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this Application may be accepted.
18. I/We understand that it may be difficult or even impossible for us to transfer Shares due to the lack of an active secondary market.
19. (In respect of Joint applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor of such survivor or survivors.
20. I/We undertake that I/we will not create or sell to any third party, any form of product which is in any way connected to the performance of the Company or any of its Funds.
21. I/We hereby acknowledge and agree that subscription monies received by the Administrator prior to investment in a Fund will be held in a Collection Account operated by the Administrator in accordance with the Investor Money Regulations which requires inter alia that such monies are held on a segregated basis. I/We further acknowledge and agree that monies held in the Collection Account will be held by the Relevant Credit Institution on the Administrator's behalf for the benefit of and at the risk of the investors on whose behalf such monies are being held. I/we acknowledge and agree that monies held in the Collection Account are not an asset of the relevant Fund until such time as the monies are transferred to the account of the relevant Fund, that I/we may be exposed to the creditworthiness of the Relevant Credit Institution where the Collection Account is held. I/we accordingly acknowledge and agree that neither the Administrator, the Company nor the Fund shall have any liability or responsibility from any losses arising in the event of the insolvency or other failure of the Relevant Credit Institution. References to "Collection Account", "Investor Money Regulations" and "Relevant Credit Institution" have the meaning assigned to them as set out below.

"Collection Account"	means the investor money collection account(s) operated by the Administrator for a Fund under administration into which all subscription monies are to be paid by an investor and from which all redemption and distribution proceeds are paid as described under the heading "Application for Shares - Collection Account";
"Investor Money Regulations"	means the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers;
"Relevant Credit Institution"	means a credit institution as prescribed by the Investor Money Regulations, and in this instance the Administrator.

### **Anti-Money Laundering Declarations**

1. I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require a detailed of my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner on a risk sensitive basis and the ongoing monitoring of my/our business relationship with the Company. I/we also acknowledge that politically exposed persons ("PEPs"), and immediate family members, and close associates of such persons (as such terms are defined below) must also be identified. I/We further acknowledge that the Administrator reserves the right not to issue Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner. I/We acknowledge that the Administrator shall be held harmless against any loss arising out of or in connection with a failure to process my/our application for Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us.
2. I/We acknowledge that the Company and/ or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a Shareholder if any of the Directors of the Company and / or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.
3. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor.

Distributions may be processed for non-compliant investors. However, if a cash option has been selected, the proceeds will be withheld until such a time as the Administrator is in receipt of all of the required documentation in the required format. If reinvestment has been selected, the dividend will be reinvested into the investor account.

4. Furthermore, where such documentation remains outstanding for 90 days from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
5. I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and cash distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 90 days from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation
6. I/We acknowledge that the Board of Directors and its delegates have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.
7. I/We understand and agree that the Company prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organisations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time, (iii) for a politically exposed person<sup>1</sup>, any member of a politically exposed persons immediate family<sup>2</sup> or any close associate<sup>3</sup> of a politically exposed person, unless the Company after being specifically notified by me/us in writing that I/we am/are such a person, conducts further due diligence, and determines that such investment shall be permitted, or (iv) for a shell bank<sup>4</sup> (such persons or entities in (i) - (iv) are collectively referred to as "Prohibited Persons").
8. I/We represent, warrant and covenant that: (i) I/we am/are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners, (a) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (b) based on such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (c) I/we hold the evidence of such identities and status and will maintain all such evidence for at least five years from the date of my/our complete redemption from the Company and (d) I/we will make available such information and any additional information that the Company and / or Administrator may require upon request.
9. If any of the foregoing representations, warranties or covenants ceases to be true or if the Company and / or Administrator no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Company and / or Administrator may be obligated to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the Company and the Company may also be required to report such action and to disclose my/our identity to OFAC or other authority. In the event that the Company and / or Administrator is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the Company and / or Administrator, the Investment Manager, the Management Service Provider,

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1 A PEP is defined as an individual who is, or has been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

(a) a specified official

(b) a member of the administrative, management or supervisory body of a state-owned enterprise.

A "specified official" is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body):

(a) a head of state, head of government, government minister or deputy or assistant government minister;

(b) a member of a parliament;

(c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;

(d) a member of a court of auditors or of the board of a central bank;

(e) an ambassador, chargé d'affaires or high-ranking officer in the armed forces.

2 An "immediate family member" includes any spouse, child or parent of a PEP, any person considered to be equivalent to a spouse under the national or other law of the political of the place where the person or PEP resides or any spouse of a child of the PEP.

3 A "close associate" of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with a PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of a PEP.

4 Shell bank" means a credit institution (or a body corporate that is engaged in activities equivalent to a credit institution) that—

(a) does not have a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated,

(b) is not authorised to operate, and is not subject to supervision, as a credit institution (or equivalent) in the jurisdiction in which it is incorporated, and

(c) is not affiliated with another body corporate that—(i) has a physical presence, involving meaningful

decision-making and management, in the jurisdiction in which it is incorporated, and (ii) is authorised to operate, and is subject to supervision, as a credit institution or an insurance undertaking, in the jurisdiction in which it is incorporated.

the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents for any form of damages arising out of or in connection with any of the aforementioned actions.

10. I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.
11. I/We agree to indemnify and hold harmless the Company, the Investment Manager, the Management Service Provider, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) arising either directly or indirectly out of or in connection with any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section.
12. I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from the applicant any such other or additional documentation from that outlined below when it deems it appropriate to do so to enable the Administrator to determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering and terrorist financing verification status on a risk sensitive basis and the applicant shall provide to the Administrator from time to time such information as may reasonably be requested. Each person acquiring Shares in the Company must satisfy the foregoing both at the time of initial subscription and at all times thereafter until such person cease to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing and / or below information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.

**(Select and complete this section as appropriate)**

13. **Relevant third Parties**<sup>5</sup> only I/We declare that I am/we are licensed as ..... (description) by the ..... (regulatory body) under the laws of ..... (country) and am/are thereby subject to regulations and/or guidelines which to the best of my/our knowledge and understanding are in accordance with the Financial Action Task Force ("FATF") Recommendations on the prevention of money-laundering and terrorist financing. We attach independent verification of our licensed status. This application is made in my/our name on behalf of my/our clients whose identity has been properly verified by me/us in accordance with the guidelines. Evidence of such verification will be retained for such period as is required by the country of our domicile and will be promptly supplied to the Administrator or the Company upon reasonable request. We confirm that we have adopted measures to prevent and detect the commission of an offence of money laundering and / or financing terrorism and that all employees, directors and other officers have received the appropriate level of training to ensure these measures are applied. Furthermore, should our licence or registration as noted above be revoked or altered at any future time or if the situation with regard to any of the clients introduced has changed, we undertake to advise you immediately. We further confirm we will provide the Administrator if requested with a letter of assurance in connection with these matters in a form acceptable to the Administrator.

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<sup>5</sup> "Relevant third party" as agreed by the Fund and the Administrator and defined in Section 40 of the Irish Criminal Justice (Money Laundering & Terrorist Financing) Act 2010 refers to a person who, in a Member State or designated place, carries on business and is (i) a credit institution, (ii) a financial institution (other than an undertaking that is a financial institution solely because the undertaking provides either foreign exchange services or payment services, or both), (iii) an external accountant, auditor, tax adviser, legal professional or trust or company service provider subject

to mandatory professional registration or mandatory professional supervision under the laws the Member State or designated place.

## APPENDIX 5 - DECLARATION OF RESIDENCE OUTSIDE IRELAND

*(non-resident composite declaration)*

**Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent 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.

### 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.

I/we\* also declare that:

- unless I/we\* specifically notify you to the contrary at the time of application, all applications for shares/units made by me/us\* from the date of this application will be made on behalf of such persons; and,
- I/we\* will inform you in writing if I/we\* become aware that any person, on whose behalf I/we\* holds shares/units, becomes resident in Ireland.

\*Delete as appropriate

Name and Address of Subscriber: \_\_\_\_\_

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

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

### Joint Applicants

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

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

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

## APPENDIX 6 - RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the “Regulations”) requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders.

In order to satisfy the Regulations, the Company must collect the following additional information from any applicants<sup>6</sup> which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

<b>Tax Reference Number (TRN) / PPS Number<sup>7</sup></b>	
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Furthermore, the Regulation requires the Company to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient;

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

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

*Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Company in accordance with the provisions of the applicable Irish data protection law, and, as of 25 May 2018, the provisions of the Regulation no. 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (together the “Data Protection Law”). In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. Your information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.*

## APPENDIX 7-COMMON REPORTING STANDARD-CUSTOMER INFORMATION NOTICE

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

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

<sup>6</sup> Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

<sup>7</sup> A PPS Number is required if the relevant applicant is an individual.

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

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

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

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

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

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

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

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

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard.

## APPENDIX 8 – DATA PRIVACY STATEMENT

In accordance with 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) (collectively, “**Data Protection Legislation**”) Paris Bertrand Sturdza Investments plc (the “**Fund**”) being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Fund will be processed by the Fund, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Fund acting as a data controller may itself (or through third parties including but not limited to HSBC Securities Services (Ireland) DAC (the “**Administrator**”), HSBC Institutional Trust Services (Ireland) DAC (the “**Depository**”), **Banque Pâris Bertrand Sturdza S.A.** (the “**Investment Manager**”), local paying agents and mailing firms appointed by any of the foregoing (together the “**Service Providers**”) process your personal information or that of your directors, officers, employees, intermediaries and/or beneficial owners.

In this regard, please note the following:

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

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares in the Fund will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Fund for the purposes outlined in the table below.

<b>Processing Activity by or on behalf of the Fund</b>	<b>Legal Basis for Processing</b>
1. Where you are a natural person, opening your account with the Fund and managing and administering your holdings in the Fund and any related account on an ongoing basis	Performance of the contract between the Fund and you
2. Where you are a natural person, disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Fund;	Performance of the contract between the Fund and you.
3. Where you are a natural person, complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under Fund law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation	Compliance with a legal obligation to which the Fund is subject
4. Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Fund, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes.	Pursuing the legitimate interests of the Fund.  Further information relating to the balancing test undertaken by the Fund in respect of such processing is available upon request.

**Please note that where personal data is processed for purposes of legitimate interests as detailed in point 4. above, you have a right to object to such processing and the Fund and its appointed Service Providers will no**

**longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

### **Profiling and Screening**

The Fund and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“**EU**”), the United Nations (“**UN**”), the UK Government and the US Office of Foreign Assets Control (“**OFAC**”) for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes. Further information is available in the prospectus for the Fund.

### **Undertaking in connection with other parties**

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

### **Disclosures to Service Providers and / or Third Parties**

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Fund and its or their duly appointed agents and any of related, associated or affiliated companies within the HSBC group(s) as needed for the purposes specified above.

These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

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

### **Transfers Abroad**

Personal data collected from you or provided by you or on your behalf may be transferred outside of Ireland including to companies situated in countries outside of the European Economic Area (“**EEA**”) which may not have the same data protection laws as in Ireland.

Where data transfers outside of the EEA take place, the Fund and/or the relevant Service Provider have taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular the implementation of binding corporate rules between companies within the Banque Eric Sturdza and HSBC Group and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact the the Investment Manager or the Administrator, as the case may be, should you wish to obtain information concerning such safeguards.

## Data Retention Period

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

## Your data protection rights

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

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, 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 GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).
- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.
- (vii) You also have the right to object to processing where the Fund or a Service Provider is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Fund please contact us via the details provided below under "Contact Us".

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

## Failure to provide personal data

Please see the prospectus for the Fund for further information on failure to provide personal data.

## Contact us

If you have any questions about the Fund's use of your personal information, please contact Mark Crossan at the following email address/using the following contact telephone number:-

Email Address            [dataprotection@bridgeconsulting.ie](mailto:dataprotection@bridgeconsulting.ie)

Phone number            +353 (0) 1 5669800