

Funds Application Form For Shares in Evelyn Partners UCITS ICAV (the ICAV)

This Application Form is a 'Master Application Form' to be applied to all related designations of the Investor.

Unless defined in this Master Application Form, defined terms used are those used in the Prospectus of Evelyn Partners UCITS ICAV (unless the context otherwise requires).

Applications should only be submitted in writing by post to the Administrator or sent by fax with the original application form and the supporting documentation in relation to money laundering prevention checks to follow promptly by post. No transactions will be processed until the required documentation has been approved by the Administrator so please supply at least five days before the intended initial trade date. However, should you wish to forward us your draft application for initial review then please kindly email the application form to the following address: evelynpartnersta@citi.com

Included in this application, is a form which we require you to complete to self-certify your residency for tax purposes. This is related to tax regulations created to enable automatic exchange of information between tax authorities in participating countries to improve international tax compliance. The information we receive will be administered in accordance with the Data Protection Act 2018.

1. a) Investor name(s) (if investing as an intermediary, please complete the table in appendix 2. point A, Beneficiaries)

| Title | First Name | Initials | Surname |
|-------|------------|----------|---------|
| | | | |

b) Company Details

| | |
|------------------------|--|
| Name | |
| Company Number | |
| Correspondence address | |

2. Home address (or registered address if company if applicable)

| | | |
|------------------|------------|---------------|
| | | |
| Telephone Number | Fax Number | Email Address |
| | | |

2. a) Contact Details for Contract Note/ Statements

| | | |
|--------------------------|------|--|
| Email | Post | |
| SWIFT MT535 or/and MT536 | | |

If you would like to receive "Statement of Holdings" and "Statement of Transactions" via SWIFT Message (ISO 15022), please provide BIC Code and confirm if MT535) or/both MT536) and Statement Frequency, Daily / Monthly.

3. Related party information (if applicable)

| |
|--|
| |
|--|

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4. Investor's bank account details (Changes to any static account information, including banking details, must be submitted in writing via post to the Transfer Agent). Payment of redemption proceeds may be delayed until the original application form has been received from the investor and the Administrator is satisfied that all required anti-money laundering checks have been completed. Third party payments are not permitted.

| |
|--------------------------|
| Bank account name: |
| Bank address: |
| Account number: |
| Sort-code: |
| IBAN: |
| Currency: |
| Beneficiary Bank name: |
| Beneficiary Bank SWIFT: |
| Intermediary Bank name: |
| Intermediary Bank SWIFT: |

5. Subscription details – see table of share classes later in this form

| Fund Name | ISIN | Share Class | Amount to invest |
|-----------|------|-------------|------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

6. Income Distribution Requirements

| |
|---|
| <p>Income will be paid to the bank account details supplied above in Section 4 unless otherwise requested. Any remitting charges will be deducted from the payments. If neither are selected distributions will automatically be re-invested.</p> <p>If you require dividends to be re-invested in the subscription of further Shares in the relevant share class of the Fund, please tick the box <input type="checkbox"/></p> |
|---|

7. Evelyn Partners UCITS ICAV – Bank Account Details

Monies in relation to Subscriptions for Shares should be sent by electronic transfer - account details will be supplied prior to launch of the funds.

Payment details - GBP

| | |
|--------------------------|-------------------------------|
| Currency | GBP |
| Beneficiary Bank | Citibank N.A., London |
| Beneficiary SWIFT | CITIGB2L |
| Sort code | 18-50-08 |
| Account | 12430584 |
| IBAN | GB10CITI18500812430584 |
| In favour of | EVELYN UCITS ICAV SUB/RED GBP |

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Payment details - EUR

| | |
|----------------------------|-------------------------------|
| Currency | EUR |
| Correspondent Bank | Citibank Europe PLC, Dublin |
| Correspondent SWIFT | CITIE2X |
| Beneficiary Bank | Citibank N.A., London |
| Beneficiary SWIFT | CITIGB2L |
| Sort code | 18-50-08 |
| Account | 12430606 |
| IBAN | GB95CITI18500812430606 |
| In favour of | EVELYN UCITS ICAV SUB/RED EUR |

Payment details - USD

| | |
|----------------------------|-------------------------------|
| Currency | USD |
| Correspondent Bank | Citibank, N.A. New York |
| Correspondent SWIFT | CITIUS33 |
| Beneficiary Bank | Citibank N.A., London |
| Beneficiary SWIFT | CITIGB2L |
| Sort code | 18-50-08 |
| Account | 12430592 |
| IBAN | GB85CITI18500812430592 |
| In favour of | EVELYN UCITS ICAV SUB/RED USD |

Payment details - CHF

| | |
|---------------------|-------------------------------|
| Currency | CHF |
| Bank | Citibank N.A., London |
| SWIFT | CITIGB2L |
| Sort code | 18-50-08 |
| Account | 12430614 |
| IBAN | GB73CITI18500812430614 |
| In favour of | EVELYN UCITS ICAV SUB/RED CHF |

8. Due Diligence Documentation

Due Diligence Documentary Requirements in accordance with the Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 as amended and updated by the Criminal Justice Act 2013, the Criminal Justice (Money Laundering and Terrorist Financing)(Amendment) Act 2018 and the Criminal Justice (Money Laundering and Terrorist Financing) (Amendment) Act 2021

1. Guide to completing this form.

Part I - This section must be completed by all applicants.

Part II - Please provide the due diligence documentation outlined in this section.

2. Certification of Documents – Required for High Risk countries

Certified copies of personal identification documents and corporate documentation are required for certain identified investors. Documents must be a 'certified true copy of original'.

In terms of certifying a document as a true copy, certification means that there is an original signature on the document from a suitable person.

Suitable persons include:

- An authorised signatory of a Regulated Financial Institution or Credit Institution.
- An authorised signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or Practicing Solicitor.
- A Practicing Chartered or Certified Public Accountant.
- Medical Professional
- A person authorised to sign on behalf of an Embassy or a Consul.
- A Police Officer.

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Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the original document as seen by the person certifying the document.
- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

Note 1: Where the document, being certified as a true copy of the original document, contains a photograph, the person certifying the document as a true copy should also confirm that this a true likeness of the person named in the document.

Note 2: The document being provided as a true and accurate copy of the original document must include a wet ink signature of the person certifying the document as a true and accurate copy of the original document (i.e., no scanned or photocopied copies of the document being certified as a true copy of the original document, can be accepted).

Note 3: For multiple page documents, the certifier should sign or initial each page of the copy and confirm on the first or last page of the document the actual number of pages in the document.

Note 4: Where available, the statement of certification as a true copy of the sighted original should be accompanied by the professional stamp or seal of the certifier.

Note 5: When certifying documents as true copies, the certifier should not be a close family member of, or have any apparent or potential conflicts of interest with, the investor.

3. 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.

Due Diligence Documentation - Investor Type

In order to comply with regulatory standards, each investor is required to provide information and documentation ("CDD") based on his/her/its investor type. Please note that not all Investor types are listed and please note that upon receipt of the requested documents, the Administrator may be obliged to request further documentation to comply with any applicable legislation other than what is outlined below. Those Enhanced Due Diligence Investors must provide certified documentation. CDD requirements are subject to change and dependent and Enhanced Due Diligence requirements may be applied at the discretion of the Administrator and the ICAV. **CDD must be supplied to the Administrator, together with the completed application form, prior to initial trades being processed; any failure to provide the required documentation is very likely to result in a delay in processing your subscription/redemption.**

Please review the Investor Types (Appendix. 1) and provide the required documentation for your investor type to the Administrator in advance of subscription.

Part I – All Investors

Please tick investor type below (Please note, investor type indicates the documents required to open account):

- | | |
|---|--------------------------|
| Private/ Unlisted Company | <input type="checkbox"/> |
| Private Investor | <input type="checkbox"/> |
| Charities/Clubs and Societies | <input type="checkbox"/> |
| Partnership | <input type="checkbox"/> |
| Trusts/ Foundations | <input type="checkbox"/> |
| Listed Company | <input type="checkbox"/> |
| Collective Investment Scheme/Fund | <input type="checkbox"/> |
| Subsidiary of a Listed Company | <input type="checkbox"/> |
| School, college or university | <input type="checkbox"/> |
| Regulated Credit or Financial Institution | <input type="checkbox"/> |
| Pension Schemes | <input type="checkbox"/> |
| Nominee Company | <input type="checkbox"/> |
| Trade Unions | <input type="checkbox"/> |
| Government Body or Public Authority | <input type="checkbox"/> |
| Church | <input type="checkbox"/> |

Other- Please specify: _____

Politically Exposed Person and Source of Wealth

I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require the verification of my/our identity, address and source of funds and in certain circumstances of the relevant beneficial owner. In addition, this also requires the ongoing monitoring of our business relationship.

If yes, then please tick the box

I/we also acknowledge that the commencement of a business relationship with politically exposed persons, commonly referred to as PEPs, requires a higher level of scrutiny. A PEP is an individual who is or has, at any time in the preceding 12 months, been entrusted with a prominent public function, his/her immediate family members and/or close associates of such person.

If yes, then please tick the box

PEP Confirmation

I/We confirm that I am/we are a PEP

In the case of an incorporated applicant, I confirm that the beneficial owner(s) is/are PEPs

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If you have answered Yes to either of the previous questions, please complete the following section:

Source of Wealth

To comply with the requirements of the Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 to 2021, you are required to provide information to confirm the **source of funds** and source of wealth in respect of the amount you are investing. This checklist must be signed and dated by either the investor(s) or the intermediary.

Please fully complete the appropriate sections and associated details below.

Individual Investors: Please ensure that both A and C below are fully completed

Corporate Investors: Please ensure that both B and C below are fully completed

A Individuals

(to be completed in respect of single and joint applicants)

Occupation

Employer (omit if retired)

Annual Income (omit if retired)

| |
|--|
| |
| |
| |

Source of funds

Income Savings

Inheritance

Benefactor

Date

Sale of existing assets

Type of assets sold

Other

Please specify

| |
|--|
| |
| |
| |
| |

Details of Additional Assets Held

Cash

Value

Property

Value

Shares/Bonds

Value

Other (Details)

| |
|--|
| |
| |
| |
| |

None

Investor's net worth (total assets less liabilities) In respect of joint applicants, combined total net worth

USD/EUR 100,000 to 500,000

| |
|--------------------------|
| <input type="checkbox"/> |
| <input type="checkbox"/> |

USD/EUR 1,000,001 to 1,250,000

USD/EUR 500,001 to 1,000,000

More than USD/EUR 1,250,000

B Corporate

Please provide one of the following

- (i) an original document or certified true copy of latest audited financial statements, or
- (ii) an original document or certified true copy of latest financial statements, or
- (iv) confirmation that (i) or (ii) are not produced plus details of the corporate's:

1. Activities and nature of business activity
2. Annual net profits for previous and current financial years and net assets at end of current and previous financial years
3. Anticipated level of investment in products offered by Citi in the coming 12 months

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C This checklist must be signed and dated by the investor(s) or the intermediary

Prepared by (capitals)

Name of investor

or Name of intermediary
Signature

Date

| |
|--|
| |
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| |
| |
| |

(Please complete fully as incomplete applications may be rejected)

I/We acknowledge that the Administrator reserves the right not to issue shares/units until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address, PEP status and source of funds. I/We also acknowledge that the Administrator shall be held harmless by me/us against any loss suffered by the Administrator arising as a result of a failure to process my/our application for shares/units if such information and documentation as has been requested by the Administrator has not been provided by me/us. I also confirm that if my status changes I will alert the administrator.

If yes, then please tick the box

Due Diligence Documentation - Leverage Across Investments

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

If yes, then please tick the box

Declaration of Nature of Investment and Beneficial Ownership

Please tick one of the options below that describes your role:

- a natural or legal person who is directly purchasing units of or shares in the fund on their own account, and not on behalf of other, underlying investors; or
- a firm that, as part of its economic activity, is directly purchasing units of or shares in its own name and exercises control over the investment for the ultimate benefit of one or more third parties who do not control the investment or investment decisions; or
- a firm (for example: a financial intermediary) that acts in its own name and is the registered owner of the shares or units but acts on the account of, and pursuant to specific instructions from, one or more third parties (e.g. because the financial intermediary is a nominee, broker, multi-client pooled account/omnibus type account operator or operator of a similar passive-type arrangement); or
- a firm's customer, for example a financial intermediary's customer, where the firm is not the registered owner of the shares or units (e.g. because the investment fund uses a financial intermediary to distribute fund shares or units, and the investor purchases units or shares through the firm and the firm does not become the legal owner of the units or shares).

¹ Joint Guidelines under Articles 17 and 18(4) of Directive (EU) 2015/849 on simplified and enhanced customer due diligence and the factors credit and financial institutions should consider when assessing the money laundering and terrorist financing risk associated with individual business relationships and occasional transactions, JC 2017 37, European Supervisory Authorities

Beneficial Ownership:

A beneficial owner as any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted. Citi is obliged to identify and, in some instances, verify beneficial owners¹.

Please tick one of the below boxes and complete the relevant section:

- We confirm there is or are one or more natural person(s) who is a beneficial owner² of the investor. (Please complete Section 1 below of this declaration).
- We confirm there is no natural person(s) who is a beneficial owner¹ of the investor. (Please complete Section 2 of this declaration).

¹ Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 at s. 33(2)(b)

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Section 1: Natural person(s) who is a beneficial owner of the investor

Beneficial Owner 1 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

Beneficial Owner 2 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

Beneficial Owner 3 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

If needed, please add additional natural person(s) who are beneficial owners on a separate sheet

Section 2: No natural person(s) who is a beneficial owner¹ of the investor

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior Managing Official 1 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Role | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

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Senior Managing Official 2 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Role | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

Senior Managing Official 3 (please complete in block capitals)

| | |
|--|----------------------------------|
| Full Name | Click or tap here to enter text. |
| Role | Click or tap here to enter text. |
| Identification Number or Passport Number | Click or tap here to enter text. |
| Occupation | Click or tap here to enter text. |
| Date of Birth | Click or tap here to enter text. |
| Place of Birth | Click or tap here to enter text. |
| Nationalities | Click or tap here to enter text. |
| Percentage Ownership | Click or tap here to enter text. |
| Residential Address Line 1 | Click or tap here to enter text. |
| Residential Address Line 2 | Click or tap here to enter text. |
| Residential Address Line 3 | Click or tap here to enter text. |
| Residential Address Line 4 | Click or tap here to enter text. |
| Post or ZIP Code | Click or tap here to enter text. |
| Residential Address Country | Click or tap here to enter text. |

Further information may be required in order to verify the information provided above.

¹ Definition of Beneficial Owner:

Sections 26 to 30 of the Criminal Justice Act 2010 define a beneficial owner as any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information.

A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) in the case of partnerships: means any individual who—

(a) ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25 per cent share of the capital or profits of the partnership or more than 25 per cent of the voting rights in the partnership, or (b) otherwise exercises control

(c) in the case of trusts: means any of the following—

(1) (a) any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;

(b) in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in paragraph (a), the class of individuals in whose main interest the trust is set up or operates;

(c) any individual who has control over the trust.

(d) the settlor;

(e) the trustee;

(f) the protector.

(2) For the purposes of and without prejudice to the generality of subsection (1), an individual who is the beneficial owner of a body corporate that— (a) is entitled to a vested interest of the kind referred to in subsection (1) (a), or (b) has control over the trust, is taken to be entitled to the vested interest or to have control over the trust (as the case may be).

(3) Except as provided by subsection (4), in this section "control", in relation to a trust, means a power (whether exercisable alone, jointly with another person or with the consent of another person) under the trust instrument concerned or by law to do any of the following: (a) dispose of, advance, lend, invest, pay or apply trust property; (b) vary the trust; (c) add or remove a person as a beneficiary or to or from a class of beneficiaries; (d) appoint or remove trustees; (e) direct, withhold consent to or veto the exercise of any power referred to in paragraphs (a) to (d).

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(4) For the purposes of the definition of "control" in subsection (3), an individual does not have control solely as a result of the power exercisable collectively at common law to vary or extinguish a trust where the beneficiaries under the trust are at least 18 years of age, have full capacity and (taken together) are absolutely entitled to the property to which the trust applies.

(c) in relation to the estate of a deceased person in the course of administration, means the executor or administrator of the estate concerned.

- (d) (1) in relation to a legal entity or legal arrangement, other than where the paragraphs above apply, means—
- (a) if the individuals who benefit from the entity or arrangement have been determined, any individual who benefits from the property of the entity or arrangement,
 - (b) if the individuals who benefit from the entity or arrangement have yet to be determined, the class of such individuals in whose main interest the entity or arrangement is set up or operates, and
 - (c) any individual who exercises control over the property of the entity or arrangement.
 - (d) any person holding a position, in relation to the legal entity or legal arrangement that is similar or equivalent to the position specified in paragraphs (d) to (f) of section 28(2) in relation to a trust.

(2) For the purposes of and without prejudice to the generality of subsection (1), any individual who is the beneficial owner of a body corporate that benefits from or exercises control over the property of the entity or arrangement is taken to benefit from or exercise control over the property of the entity or arrangement.

(3) In this Part, "beneficial owner", in relation to a case other than a case to which section 26, (a), (b) or (c), or subsection (1) of this section, applies, means any individual who ultimately owns or controls a customer or on whose behalf a transaction is conducted.

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 1 _____ Print Name _____ Date _____

Signature 2 _____ Print Name _____ Date _____

Note: Citibank Europe Plc (Citi) will be unable to process your application until the Ultimate Beneficial Owners have been confirmed.

Related Person Details

Full names of all Related Persons:

- In the case of a company, Related Persons means the directors.
- In the case of a Partnership, Related Persons means the partners.
- In the case of a limited liability company (LLC), Related Persons means the managing members.
- In the case of a trust, foundation or similar entity, Related Persons means the trustees.
- In the case of a charity/government body/ university/ school/ college/ club/ society, Related Persons means the authorising officers/ board members/ officials.

1. _____ 2. _____
3. _____ 4. _____
5. _____ 6. _____
7. _____ 8. _____
9. _____ 10. _____
11. _____ 12. _____

Part II- Due Diligence Requirements

Outlined below is guidance on the documentation which the ICAV/Management Company and the Administrator will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk.

The ICAV/Management Company and the Administrator hereby reserves the right to request such further information and/or documentation from investors as is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorism financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction) and/or to satisfy the Irish regulatory requirements.

Examples of Photographic Identity Documentation

- Current passport.
- Current driving licence.
- Current national identity card.
- Current identification form with the photo signed by a police officer or equivalent.

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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.
- 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: 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).

9. Declarations:

- 7.1 I/We wish to invest in Shares of the Fund at the relevant price(s) ruling on the relevant Dealing Date and undertake to pay therefor. The price per Share and the amount paid will be shown on a contract note, which will be emailed or faxed shortly after the relevant Dealing Date.
- 7.2 I/We apply to invest in the Fund and to be entered in the Register of Shareholders of the Fund as indicated above. I/We hereby acknowledge that I/We have received and read the current Prospectus, Instrument of Incorporation (**IoI**) and Supplement and 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 Application Form. I/We hereby acknowledge that unless otherwise defined in this Application Form all capitalized terms used herein shall have the same meaning as defined terms in the Prospectus and/or Supplement. I/We agree to be bound by the terms of the Prospectus, the IoI and the Supplement.
- 7.3 I/We confirm that we have received and considered, in good time prior to the application for any proposed subscription for Shares, either the Key Information Document (**KID**) or the Key Investor Information Document (**KIID**), as applicable, in issue for the relevant Shares.
- 7.4 I/we confirm that my/our preference is to receive the KIDs or KIIDs, as applicable, by way of Electronic Delivery or by paper format (please tick your preference). I/we agree and consent to receipt of the relevant KIDs or KIIDs, as applicable, in the format indicated. Electronic Delivery means electronically making available such documentation or information on <https://group.www.evelyn.com/services/funds/> or such other website address as may be notified to me/us from time to time.
- 7.5 I/We agree that the ICAV has offered the choice of receipt of the relevant KIDs or KIIDs, as applicable, by way of Electronic Delivery or in paper format.
- 7.6 I/We acknowledge that the ICAV is required to provide the relevant KIDs or KIIDs, as applicable, prior to each subsequent subscription for, or exchange of, Shares and I/we hereby agree that for each subsequent application for subscriptions and/or exchange of Shares, the KID or KIID, as applicable, will be available via <https://www.evelyn.com/services/funds/>
- 7.7 I/We certify that I am/we are eligible to invest in the Fund and I am/we are not acquiring Shares 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 which I/we may purchase to any person or entity who/which is not eligible to invest in the Fund. I am/We are aware of the risk involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- 7.8 I/We confirm that the Shares are NOT being acquired directly or indirectly by or on the behalf of any US person or Irish Resident (as defined in the Prospectus) or on behalf of any person in any other jurisdiction that would be restricted or prohibited from acquiring Shares except as may be allowed by exemption, and that the Applicant will not sell, transfer or otherwise dispose of any such Shares directly or indirectly, to or for the account of any US person or Irish Resident or for the account of any person in such other jurisdiction. I/We further confirm that I/we will notify the Administrator in the event that I/we become a U.S. person or Irish Resident or hold such Shares on behalf of or for the account or benefit of such person.
- 7.9 I/We confirm that the subscription of Shares by me/us as set out in this Application does not violate any applicable laws or regulations.
- 7.10 I/We hereby confirm that the Administrator are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this Application relates given by me/us by facsimile. I/We hereby indemnify the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting upon such facsimile instructions. The Administrator may rely conclusively upon and shall incur no liability in respect of any transfer, payment or any other action taken or not 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.
- 7.11 I/We agree to keep the Administrator, Management Company and the ICAV 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 Application Form.
- 7.12 By opening this account and signing below, the account owner represents and warrants that he/she/it is not a U.S. person for purposes of U.S. Federal income tax and that he/she/it is not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If your tax status changes and you become a U.S. citizen or a resident, you must notify us within 30 days.
- 8.0 I/We have read and agree to the provisions of the Data Protection Notice set out in the section below of this Application Form.
- 9.0 I/We acknowledge and agree that subscription monies received in respect of a Fund in advance of shares being issued on the relevant Dealing Day will be held in the umbrella cash subscriptions and redemptions account (Umbrella Cash Subscriptions and Redemptions Account) in the name of the ICAV and will be treated as an asset of the relevant Fund. I/We further acknowledge and agree that I/we will be an unsecured creditor of the relevant Fund with respect to the

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amount held by the ICAV until Shares are issued on the Dealing Day and, as such, I/we will not benefit from any appreciation in the Net Asset Value of the relevant Fund or any other Shareholder rights (including dividend entitlement) until such time as Shares are issued on the relevant Dealing Day. I further acknowledge and agree that such amounts will constitute a debt due to me from the relevant Fund and will not be held on trust for me, pending the issue of shares on the relevant Dealing Day.

- 10.0 I/We hereby authorise the ICAV and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Fund for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- 11.0 I/We* declare that I/we* acknowledge the responsibilities of the ICAV and the Administrator with regard to the prevention of money laundering and financing of terrorism, including those prescribed by the Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 to 2021, and I/we* agree to comply with all applicable laws and regulations sufficient to discharge the Applicant's obligations in respect of its investment in the ICAV from the date of this application, and on an ongoing basis, and to verify the identity of and carry out all required due diligence in respect of all economic beneficiaries (if any). I/We* agree to provide all relevant documentation as and when requested and I/we agree that I/we* will not, under any circumstances, knowingly be or become involved in criminal conduct or money laundering and/or act on behalf of a person where the activities of that person lead us to believe that the person has been involved in criminal conduct or money laundering. I/We* acknowledge that the ICAV and/or the Administrator shall be held harmless against any loss arising as a result of a failure to process my/our* application for or request for redemption of Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us*.
- 12.0 I/We* hereby acknowledge and agree that where I/we* fail to provide the Administrator with the documentation and information referred to above, the Administrator, after notification to the Directors of the ICAV, may reject this application, and that the Administrator may make such reports to the relevant regulatory and law enforcement authorities as required under applicable anti-money laundering legislation and regulations. I/we* further acknowledge that the Administrator will withhold the proceeds of redemption of my/our* Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our* identity.
- 13.0 I/We* understand that the following persons are prohibited from investing in the ICAV (i) a person or entity whose name appears on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Office of Foreign Assets Control ("OFAC"); (ii) any other person whose dealings with U.S. Persons would be restricted under sanctions administered by OFAC; (iii) a person or entity whose dealings with the ICAV and/or the Management Company would be sanctioned by the European Union; and (iv) a foreign shell bank (a bank without a physical presence in any country) ("Prohibited Investor").
- 14.0 I/We* represent and covenant that neither I/we*, nor any person controlling, controlled by, or under common control with me/us*, nor any person having a beneficial interest in me/us*, is a Prohibited Investor. I/We* agree to promptly notify the ICAV of any change in information affecting this representation and covenant.
- 15.0 I/We* acknowledge that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which the Applicant is subject to taxation and that the tax consequences of the Applicant's purchase of Shares depends on the Applicant's individual circumstances.
- 16.0 I/We* acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed on it by (i) the Foreign Account Tax Compliance Act ("FATCA") regulations (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") (iii) the OECD Common Reporting Standard ("CRS") and Council Directive 2014/107/EU amending Directive 2011/16/EU ("DAC II") and Irish implementing legislation so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations, the IGA, CRS and DAC II and the Irish implementing legislation (together "AEOI"). In particular I/we* acknowledge that the information contained in this form and information regarding the Applicant may be reported to the tax authorities of the country in which this account is maintained and exchanged with the tax authorities of another country or countries in which the Applicant may be tax resident where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information.
- 17.0 I/We* agree to provide to the Administrator the necessary AEOI declarations appended in Appendix 2 of this Application Form, 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 AEOI, as described above, as amended or supplemented from time to time. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we* hereby agree to notify the Administrator immediately of any such change and further agree to immediately take such action as 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 Administrator. If relevant, I/we* agree to notify the Administrator of any change to my/our* tax residency status.
- 18.0 I/We* hereby acknowledge for the purposes of complying with its automatic exchange of information obligation under CRS that the ICAV, or the Administrator on its behalf, is required to collect certain information on an account holder and on certain controlling persons in the case of the account holder being an entity (e.g. name, address, jurisdiction of residence, TIN, date and place of birth (as appropriate), the account number and the account balance value at the each of end calendar year) to identify accounts which are reportable to the Irish tax authorities under CRS and further acknowledge that such information may in turn be exchanged by the Irish tax authorities with other tax authorities. Further Information in relation to CRS can be found on the Automatic Exchange of Information (AEOI) webpage on www.revenue.ie.
- 19.0 I/we* acknowledge that the Administrator will provide such information relating to me/us*, to the relevant tax or regulatory authorities as it is required to do under the regulations in force in Ireland from time to time pursuant to the IGA.
- 20.0 I/We* hereby also agree to indemnify and keep indemnified the ICAV 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 my/our* obligations pursuant to this section or failure to provide such information which has been requested by 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 Administrator.
- 21.0 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 my/our* entire holding in the Fund, and that the

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Administrator is authorised 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 Administrator and the ICAV against any loss suffered by them or other Shareholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

- 22.0 I/We* agree to sell or tender to the ICAV for redemption, Shares held by me/us* in the ICAV if the continuing holding of the Shares by me/us* would prejudice the tax or regulatory status of the ICAV.
- 23.0 I/We* acknowledge that I/we* will be entitled to look solely to the assets of the Fund in which I/we* have invested in respect of all payments in respect of the Applicant's Shares. If the realised net assets of the Fund are insufficient to pay any amounts payable in respect of the relevant Shares, I/we* will have no further right of payment in respect of such Shares nor any claim against or recourse to any of the assets of any other Fund or any other asset of the ICAV or of the Administrator or of the Depositary.
- 24.0 I/We* confirm that I/we* have provided the ICAV and/or Administrator with a list of persons duly authorised by me/us* to give Instructions to the ICAV and/or the Administrator and that I am/we are* empowered to authorise those authorised persons to give such Instructions. I/We* acknowledge that it is the Applicant's responsibility to ensure that any changes to such list of authorised persons are notified to the Administrator.
- 25.0 If the undersigned is acting as agent, representative or nominee (a "Nominee"), the Nominee acknowledges and agrees that the agreements, representations, warranties, undertakings, and acknowledgements herein are also made on behalf of the beneficial owner(s). The Nominee represents and warrants that Nominee has all requisite power and authority to enter into and perform this Application Form and the agreements contemplated hereby, and Nominee represents and warrants, after reasonable inquiry, that the information, representations and warranties provided in this Application Form and otherwise to the ICAV and/or Administrator through the Nominee are accurate and complete. Nominee agrees to indemnify the Fund, the ICAV, the Management Company, the Administrator and the Depositary for any and all damages, costs, fees, losses and expenses (including counsel fees and disbursements) in connection with or resulting from the Nominee's misrepresentation or misstatement contained herein or breach hereof, or the assertion of the Nominee's lack of proper authorisation from the beneficial owner(s).
- 26.0 I/We* consent to any ICAV, Fund and Shareholder documentation and information, including but not limited to, copies of the Prospectus, financial reports, circulars, notices, forms, and any Shareholder or other documentation relating to the ICAV, relevant Fund or Share Class required to be sent by the ICAV or Administrator to the Applicant as a Shareholder being sent by electronic means including but not limited to email or posting of and such document, report, communication, form or notice on such other web-site address as may be notified to me/us* from time to time by post or email. By providing an email address herein, any such document to be sent by email will be sent to the email address set out herein or otherwise notified to and agreed with the Administrator from time to time. I/We* understand that it is my/our* obligation to notify the ICAV and/or Administrator in writing if the contact email address set out herein changes. I/We* understand that I/we* may revoke or restrict my/our* consent to electronic delivery of such documentation and information by notifying the ICAV and Administrator in writing. I/We* note that e-mail messages may not be secure and may contain computer viruses or other defects, may not be accurately replicated on other systems, or may be intercepted, deleted or interfered with without the knowledge of the sender or the intended recipient. I/We* note that the Administrator makes no warranties in relation to these matters. I/We* also note that the Administrator reserves the right to intercept, monitor and retain e-mail messages to and from its systems as permitted by applicable law. I/We* confirm that if I/we have any doubts about the authenticity of an e-mail purportedly sent by the ICAV, the Management Company or the Administrator, I/we* will contact the purported sender immediately. The ICAV 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* hereby indemnify the ICAV and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting on email instructions.
- 27.0 I/We acknowledge of the following:
- i. personal information relating to me/us will be processed by the Management Company and/or the Management Company's delegates (which may include the Administrator, the Investment Manager, Distribution Agents if any) and/or the Depositary (collectively the "Fund Parties" and each a "Fund Party") in accordance with their respective obligations under the Data Protection Act 2018;
 - ii. personal information relating to me/us will be processed for the purposes of administering my/our participation in the Fund (including, without limitation, administering an application for Shares in the Fund, administering a request for redemption of Shares in the Funds; administering the payment of distributions (if any) declared by the Fund; maintaining the shareholder register; circulating periodic reports relating to the Fund) and complying with legal and regulatory obligations;
 - iii. the processing of personal information relating to me/us may include the disclosure of such personal information to:
 - (a) Third parties identified in the Prospectus;
 - (b) Other third parties such as the auditors to the Fund or agents of the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
 - (c) Entities which are companies within the same group of companies as one or more to the Fund Parties;
 - iv. personal information relating to me/us may be transferred to countries outside the European Economic Area which do not have data protection legislation which is equivalent to that in Ireland.

Declaration of Residence Outside Ireland

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. Terms used in this declaration are defined in the Prospectus unless otherwise defined below in the section entitled "Important notes".

Delete (a) or (b) as appropriate.

(a) Declaration on own behalf

I/We* declare that I am/we are* applying for the Shares on my own/our own behalf/on behalf of a company* and that I am/We are/the company is* entitled to the Shares in respect of which this declaration is made and that I am/We are/the company is* not currently resident or ordinarily resident in Ireland, and should I/we/the company* become resident in Ireland I/we* will so inform the Administrator, in writing, accordingly.

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(b) Declaration as Intermediary

I/We* declare that I am/we are* applying for Shares on behalf of persons:

- who will be beneficially entitled to the Shares; and,
- who, to the best of my/our* knowledge and belief, are neither 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 made by me/us* from the date of this application will be made on behalf of such persons; and,
- I/We* will inform you in writing if I/we* become aware that any person, on whose behalf I/we* hold Shares, becomes resident in Ireland.

(* Delete as appropriate)

Investor 1

Investor 2

Signed: _____

Name: _____

Date: _____

Please return the original completed Application Form to:

C/O Citibank Europe plc Transfer Agency, 1st Floor, 1 North Wall Quay, Dublin 1, Ireland

Tel + 353 1 6224600, Fax + 353 1 6224631

Email: evelynpartnersta@citi.com

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, this declaration must be signed by the applicant(s). 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 this 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.
4. Applicants who are Exempt Irish Residents should contact the Administrator for the alternative declaration available for Exempt Irish Residents.
5. An "intermediary" means a person who: carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons; or holds Shares in an investment undertaking on behalf of other persons.

6. Distributions out of and charging fees and expenses to capital: **Shareholders should note that all or part of fees and expenses, including management fees may be charged to the capital of the ICAV. This will have the effect of lowering the capital value of your investment. Shareholders should further note that distributions may be paid for out of the capital of the Fund and where distributions are paid out of capital, Shareholders may not receive back the full amount invested.**

Appendix 2. point A – Beneficiaries

| | Beneficiary 1 | Beneficiary 2 |
|---------------|---------------|---------------|
| Name | | |
| Address | | |
| Date of Birth | | |

Data Protection Notice

By signing this Application Form, you acknowledge and agree to the following provisions in relation data protection.

This notice sets out important information in relation to the processing of Personal Data, by or on behalf of Evelyn Partners UCITS ICAV (the ICAV) in accordance with GDPR.

Please read this privacy statement carefully to understand our use of your Personal Data.

Fund: Evelyn Partners UCITS ICAV
 Registered Office 3 Dublin Landings, North Wall Quay, Dublin 1, D01 C4E0
 Facilities Agent: Evelyn Partners Investment Management Services Limited, Maxis 2,
 43 Western Road, Bracknell, United Kingdom, RG12 1RT

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Your right to object – Please note that you have a right to object to the processing of your Personal Data where that processing is carried out for our legitimate interest

1. Definitions

Unless otherwise defined herein, defined terms shall have the meaning ascribed to them in the Prospectus of the ICAV:

Data Protection Legislation means the GDPR and the EU Privacy & Electronic Communications Directive 2002/58/EC, any amendments and replacement legislation, European Commission decisions, binding EU and national guidance and all national implementing legislation, including the Data Protection Act 2018.

GDPR means Regulation (EU) 2016/679 known as the General Data Protection Regulation.

Personal Data means any data relating to a living individual who can be identified directly from that data or indirectly in conjunction with other information.

2. Data Use

Personal Data may be provided to the ICAV in connection with your investment as a Shareholder in the ICAV.

The ICAV may hold some or all of the following types of Personal Data in relation to investors and prospective investors (and their officers, employees and beneficial owners); name, address/other contact details (telephone, email address), date/place of birth, gender, tax number, bank details, photographic ID, proofs of address (usually utility bills) as furnished by investors when completing the Application Form or to keep that information up to date. The ICAV may also obtain further Personal Data on those individuals by way of PEP (Politically Exposed Person) checks, sanctions checks, negative news checks and screening checks. The ICAV is obliged to verify the Personal Data and carry out ongoing monitoring. Where existing and prospective investors have furnished Personal Data in respect of their officers, employees and beneficial owners to the ICAV, those investors must furnish the information in this section on data protection to them.

In the course of business, the ICAV will collect, record, store, adapt, transfer and otherwise process Personal Data. The ICAV is a data controller within the meaning of Data Protection Legislation and will hold any Personal Data provided by or in respect of investors in accordance with Data Protection Legislation.

The ICAV and/or any of its delegates or service providers (the Administrator, Depositary, Management Company, Investment Manager, MLRO and their sub-contractors) may process Shareholders' and prospective investor's Personal Data for any one or more of the following purposes and on the following legal bases:

- 1) to operate the Funds, including managing and administering a Shareholder's investment in the relevant Fund on an ongoing basis which enables the ICAV to satisfy its contractual duties and obligations to the Shareholder (including, without limitation, administering an application for Shares in the Fund, administering a request for redemption of Shares in the Funds; administering the payment of distributions (if any) declared by the Fund; maintaining the shareholder register; circulating periodic reports relating to the Fund) and any processing necessary for the preparation of the contract with the Shareholder;
- 2) to comply with any applicable legal, tax or regulatory obligations on the ICAV, for example under the ICAV Act, and anti-money laundering and counter-terrorism and tax legislation and fraud prevention, for example self-certification requirements for FATCA and CRS;
- 3) for any other legitimate business interests' of the ICAV or a third party to whom Personal Data is disclosed, where such interests are not overridden by the interests of the investor, including for statistical analysis, anonymous aggregation, market research purposes and to perform financial and/or regulatory reporting; or
- 4) for any other specific purposes where investors have given their specific consent and where processing of Personal Data is based on consent, the investors will have the right to withdraw it at any time.

Where processing is carried out on behalf of the ICAV, the ICAV shall engage a data processor, within the meaning of Data Protection Legislation, which implements appropriate technical and organisational security measures in a manner that such processing meets the requirements of Data Protection Legislation, and ensures the protection of the rights of investors. The ICAV will enter into a written contract with the data processor which will set out the data processor's specific mandatory obligations laid down in Data Protection Legislation, including to process Personal Data only in accordance with the documented instructions from the ICAV.

The ICAV and/or any of its delegates or service providers may disclose or transfer Personal Data, whether in Ireland or elsewhere (including entities situated in countries outside of the EEA), to other delegates, duly appointed agents and service providers of the ICAV (and any of their respective related, associated or affiliated companies or sub-delegates) and to third parties including advisers, regulatory bodies, taxation authorities, auditors, technology providers for the purposes specified above, agents of the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements, or third parties identified in the Prospectus. The ICAV may disclose or transfer Personal Data to entities which are companies within the same group of companies as one or more to the Fund Parties.

The ICAV will not keep Personal Data for longer than is necessary for the purpose(s) for which it was collected. In determining appropriate retention periods, the ICAV shall have regard to the Statute of Limitations Act 1957, as amended, and any statutory obligations to retain information, including anti-money laundering, counter-terrorism, tax legislation. The ICAV will take all reasonable steps to destroy or erase the data from its systems when they are no longer required.

Where specific processing is based on an investor's consent, that investor has the right to withdraw it at any time. Investors have the right to request access to their Personal Data kept by the ICAV; and the right to rectification or erasure of their data; to restrict or object to processing of their data, and to data portability, subject to any restrictions imposed by Data Protection Legislation and any statutory obligations to retain information including anti-money laundering, counter-terrorism, tax legislation

The ICAV and/or any of its delegates and service providers will not transfer Personal Data to a country outside of the EEA unless that country ensures an adequate level of data protection or appropriate safeguards are in place. The European Commission has prepared a list of countries that are deemed to provide an adequate level of data protection which, to date, includes Switzerland, Guernsey, Argentina, the Isle of Man, Faroe Islands, Jersey, Andorra, Israel, New Zealand and Uruguay. Further countries may be added to this list by the European Commission at any time. The US is also deemed to provide an adequate level of protection where the US recipient of the data is privacy shield-certified. If a third country does not provide an adequate level of data protection, then the

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ICAV and/or any of its delegates and service providers will ensure it puts in place appropriate safeguards such as the model clauses (which are standardised contractual clauses, approved by the European Commission) or binding corporate rules, or relies on one of the derogations provided for in Data Protection Legislation. As at the date of this document such countries outside of the EEA (that are not deemed to provide an adequate level of investor protection) to which data may be transferred is India.

As part of the ICAV's business and ongoing monitoring, the ICAV may from time to time carry out automated decision-making in relation to investors, including, for example, profiling of investors in the context of anti-money laundering reviews, and this may result in an investor being identified to the revenue authorities, law enforcement authorities and to other entities where required by law, and the ICAV terminating its relationship with the investor.

Investors are required to provide their Personal Data for statutory and contractual purposes. Failure to provide the required Personal Data will result in the ICAV being unable to permit, process, or release the investor's investment in the Funds and this may result in the ICAV terminating its relationship with the investor. Investors have a right to lodge a complaint with the Data Protection Authority if they are unhappy with how the ICAV is handling their Personal Data.

Any questions about the operation of the ICAV's data protection policy should be referred in the first instance to ask.dataprotection@evelyn.com.

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| Full Share Class Name | Acc/Dist | ISIN | SEDOL |
|--|--------------|--------------|---------|
| Evelyn Global Defensive Portfolio Retail GBP Acc | Accumulation | IE00BK71XZ19 | BK71XZ1 |
| Evelyn Global Defensive Portfolio Retail EUR Acc | Accumulation | IE00BK71Y032 | BK71Y03 |
| Evelyn Global Defensive Portfolio Retail USD Acc | Accumulation | IE00BK71Y149 | BK71Y14 |
| Evelyn Global Defensive Portfolio Retail CHF Acc | Accumulation | IE00BK71Y255 | BK71Y25 |
| Evelyn Global Defensive Portfolio A USD Acc | Accumulation | IE00BK71Y362 | BK71Y36 |
| Evelyn Global Defensive Portfolio C USD Acc | Accumulation | IE00BK71Y479 | BK71Y47 |
| Evelyn Global Defensive Portfolio Clean GBP Acc | Accumulation | IE00BK71Y586 | BK71Y58 |
| Evelyn Global Defensive Portfolio Clean EUR Acc | Accumulation | IE00BK71Y693 | BK71Y69 |
| Evelyn Global Defensive Portfolio Clean USD Acc | Accumulation | IE00BK71Y701 | BK71Y70 |
| Evelyn Global Defensive Portfolio Clean CHF Acc | Accumulation | IE00BK71Y818 | BK71Y81 |
| Evelyn Global Income Portfolio Retail GBP Acc | Accumulation | IE00BK722X55 | BK722X5 |
| Evelyn Global Income Portfolio Retail GBP Dist | Distribution | IE00BK722Y62 | BK722Y6 |
| Evelyn Global Income Portfolio Retail EUR Acc | Accumulation | IE00BK722Z79 | BK722Z7 |
| Evelyn Global Income Portfolio Retail USD Acc | Accumulation | IE00BK723095 | BK72309 |
| Evelyn Global Income Portfolio Retail CHF Acc | Accumulation | IE00BK723103 | BK72310 |
| Evelyn Global Income Portfolio A USD Acc | Accumulation | IE00BK723210 | BK72321 |
| Evelyn Global Income Portfolio C USD Acc | Accumulation | IE00BK723327 | BK72332 |
| Evelyn Global Income Portfolio Clean GBP Acc | Accumulation | IE00BK723434 | BK72343 |
| Evelyn Global Income Portfolio Clean GBP Dist | Distribution | IE00BK723541 | BK72354 |
| Evelyn Global Income Portfolio Clean EUR Acc | Accumulation | IE00BK723657 | BK72365 |
| Evelyn Global Income Portfolio Clean USD Acc | Accumulation | IE00BK723764 | BK72376 |
| Evelyn Global Balanced Portfolio Retail GBP Acc | Accumulation | IE00BK723871 | BK72387 |
| Evelyn Global Balanced Portfolio Retail EUR Acc | Accumulation | IE00BK723988 | BK72398 |
| Evelyn Global Balanced Portfolio Retail USD Acc | Accumulation | IE00BK723B01 | BK723B0 |
| Evelyn Global Balanced Portfolio Retail CHF Acc | Accumulation | IE00BK723C18 | BK723C1 |
| Evelyn Global Balanced Portfolio A USD Acc | Accumulation | IE00BK723D25 | BK723D2 |
| Evelyn Global Balanced Portfolio C USD Acc | Accumulation | IE00BK723F49 | BK723F4 |
| Evelyn Global Balanced Portfolio Clean GBP Acc | Accumulation | IE00BK723G55 | BK723G5 |
| Evelyn Global Balanced Portfolio Clean EUR Acc | Accumulation | IE00BK723H62 | BK723H6 |
| Evelyn Global Balanced Portfolio Clean USD Acc | Accumulation | IE00BK723J86 | BK723J8 |
| Evelyn Global Balanced Portfolio Clean CHF Acc | Accumulation | IE00BK723K91 | BK723K9 |
| Evelyn Global Growth Portfolio Retail GBP Acc | Accumulation | IE00BK723Z45 | BK723Z4 |
| Evelyn Global Growth Portfolio Retail EUR Acc | Accumulation | IE00BK724069 | BK72406 |
| Evelyn Global Growth Portfolio Retail USD Acc | Accumulation | IE00BK724176 | BK72417 |
| Evelyn Global Growth Portfolio Retail CHF Acc | Accumulation | IE00BK724283 | BK72428 |
| Evelyn Global Growth Portfolio A USD Acc | Accumulation | IE00BK724390 | BK72439 |
| Evelyn Global Growth Portfolio C USD Acc | Accumulation | IE00BK724408 | BK72440 |
| Evelyn Global Growth Portfolio Clean GBP Acc | Accumulation | IE00BK724515 | BK72451 |
| Evelyn Global Growth Portfolio Clean EUR Acc | Accumulation | IE00BK724622 | BK72462 |
| Evelyn Global Growth Portfolio Clean USD Acc | Accumulation | IE00BK724739 | BK72473 |
| Evelyn Global Adventurous Portfolio Retail GBP Acc | Accumulation | IE00BK724846 | BK72484 |
| Evelyn Global Adventurous Portfolio Retail EUR Acc | Accumulation | IE00BK724952 | BK72495 |
| Evelyn Global Adventurous Portfolio Retail USD Acc | Accumulation | IE00BK724B75 | BK724B7 |
| Evelyn Global Adventurous Portfolio Retail CHF Acc | Accumulation | IE00BK724C82 | BK724C8 |
| Evelyn Global Adventurous Portfolio A USD Acc | Accumulation | IE00BK724D99 | BK724D9 |
| Evelyn Global Adventurous Portfolio C USD Acc | Accumulation | IE00BK72GB17 | BK72GB1 |
| Evelyn Global Adventurous Portfolio Clean GBP Acc | Accumulation | IE00BK727Y18 | BK727Y1 |
| Evelyn Global Adventurous Portfolio Clean EUR Acc | Accumulation | IE00BK727Z25 | BK727Z2 |
| Evelyn Global Adventurous Portfolio Clean USD Acc | Accumulation | IE00BK728045 | BK72804 |

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| | | | |
|---|--------------|--------------|---------|
| Evelyn Global Adventurous Portfolio Clean CHF Acc | Accumulation | IE00BK728151 | BK72815 |
| Evelyn Global Conservative Direct Fund H GBP Acc | Accumulation | IE00BMD8FT82 | BMD8FT8 |
| Evelyn Global Conservative Direct Fund H EUR Acc | Accumulation | IE00BMD8FV05 | BMD8FV0 |
| Evelyn Global Conservative Direct Fund H USD Acc | Accumulation | IE00BMD8FW12 | BMD8FW1 |
| Evelyn Global Conservative Direct Fund K GBP Acc | Accumulation | IE00BMD8FX29 | BMD8FX2 |
| Evelyn Global Conservative Direct Fund K EUR Acc | Accumulation | IE00BMD8FY36 | BMD8FY3 |
| Evelyn Global Conservative Direct Fund K USD Acc | Accumulation | IE00BMD8FZ43 | BMD8FZ4 |
| Evelyn Global Balanced Direct Fund H GBP Acc | Accumulation | IE00BMD8G066 | BMD8G06 |
| Evelyn Global Balanced Direct Fund H EUR Acc | Accumulation | IE00BMD8G173 | BMD8G17 |
| Evelyn Global Balanced Direct Fund H USD Acc | Accumulation | IE00BMD8G959 | BMD8G95 |
| Evelyn Global Balanced Direct Fund K GBP Acc | Accumulation | IE00BMD8GD97 | BMD8GD9 |
| Evelyn Global Balanced Direct Fund K EUR Acc | Accumulation | IE00BMD8GF12 | BMD8GF1 |
| Evelyn Global Balanced Direct Fund K USD Acc | Accumulation | IE00BMD8GG29 | BMD8GG2 |
| Evelyn Global Adventurous Direct Fund H GBP Acc | Accumulation | IE00BMD8GH36 | BMD8GH3 |
| Evelyn Global Adventurous Direct Fund H EUR Acc | Accumulation | IE00BMD8GN95 | BMD8GN9 |
| Evelyn Global Adventurous Direct Fund H USD Acc | Accumulation | IE00BMD8GW86 | BMD8GW8 |
| Evelyn Global Adventurous Direct Fund K EUR Acc | Accumulation | IE00BMD8K597 | BMD8K59 |
| Evelyn Global Adventurous Direct Fund K GBP Acc | Accumulation | IE00BMD8KG07 | BMD8KG0 |
| Evelyn Global Adventurous Direct Fund K USD Acc | Accumulation | IE00BMD8L124 | BMD8L12 |
| Evelyn Smart Cautious Fund S GBP Acc | Accumulation | IE00G0FVN09 | BNKGZ70 |
| Evelyn Smart Balanced Fund S GBP Acc | Accumulation | IE0000BTCLT0 | BNKGZ81 |
| Evelyn Smart Growth Fund S GBP Acc | Accumulation | IE000W97ZI57 | BNKGZ92 |
| Evelyn Smart Adventurous Fund S GBP Acc | Accumulation | IE00049CLTP8 | BNKGZB4 |
| Evelyn Smart Maximum Growth Fund S GBP Acc | Accumulation | IE000L07GLR0 | BNKGZD6 |
| Evelyn Multi-Asset Balanced Clean GBP Acc | Accumulation | IE000DZC6LL2 | BP6T867 |
| Evelyn Multi-Asset Balanced Clean GBP Dist | Distribution | IE000U6RZLZ5 | BP6T889 |
| Evelyn Multi-Asset Balanced L GBP Acc | Accumulation | IE000BNNXW82 | BPBJVR4 |
| Evelyn Multi-Asset Balanced L GBP Dist | Distribution | IE0003R31S27 | BPBJVS5 |
| Evelyn Multi-Asset Balanced P GBP Acc | Accumulation | IE0003UWCRP2 | BRT72H1 |
| Evelyn Multi-Asset Balanced P GBP Dist | Distribution | IE00065QED79 | BRT72K4 |
| Evelyn Multi-Asset Growth Clean GBP Acc | Accumulation | IE000LIIQTD1 | BPG7FC6 |
| Evelyn Multi-Asset Growth Clean GBP Dist | Distribution | IE0007957L14 | BPG7FD7 |
| Evelyn Multi-Asset Growth L GBP Acc | Accumulation | IE0000LG7BF1 | BPBJVW9 |
| Evelyn Multi-Asset Growth L GBP Dist | Distribution | IE000A6Z5KW6 | BPBJVX0 |
| Evelyn Multi-Asset Growth P GBP Acc | Accumulation | IE000H80KQW6 | BRT72L5 |
| Evelyn Multi-Asset Growth P GBP Dist | Distribution | IE000R3CWJT3 | BRT72M6 |
| Evelyn Multi-Asset Adventurous Clean GBP Acc | Accumulation | IE0005BN6N99 | BP6T823 |
| Evelyn Multi-Asset Adventurous Clean GBP Dist | Distribution | IE0009YPXMY4 | BP6T834 |
| Evelyn Multi-Asset Adventurous L GBP Acc | Accumulation | IE00049E4DT4 | BPBJVP2 |
| Evelyn Multi-Asset Adventurous L GBP Dist | Distribution | IE000YUWTWW8 | BPBJVQ3 |
| Evelyn Multi-Asset Adventurous P GBP Acc | Accumulation | IE000AYD38Y4 | BRT72R1 |
| Evelyn Multi-Asset Adventurous P GBP Dist | Distribution | IE000A7MLYS6 | BS1HW76 |
| Evelyn Multi-Asset Maximum Growth Clean GBP Acc | Accumulation | IE0001GNZK29 | BP6T801 |
| Evelyn Multi-Asset Maximum Growth Clean GBP Dist | Distribution | IE000A1XXDS5 | BP6T812 |
| Evelyn Multi-Asset Maximum Growth L GBP Acc | Accumulation | IE000GJ9BBS0 | BPBJVT6 |
| Evelyn Multi-Asset Maximum Growth L GBP Dist | Distribution | IE000AT06F13 | BPBJVV8 |
| Evelyn Multi-Asset Maximum Growth P GBP Acc | Accumulation | IE000MIPTTF3 | BSLKQ62 |
| Evelyn Multi-Asset Maximum Growth P GBP Dist | Distribution | IE000QS1IDE5 | BSMNTZ0 |
| Evelyn Mid-Ocean World Investment Fund Institutional USD Dist | Distribution | IE000BR5EVO4 | BNHT044 |
| Evelyn Mid-Ocean World Investment Fund Retail USD Dist | Distribution | IE000446M903 | BNHT066 |
| Evelyn Mid-Ocean World Investment Fund Clean USD Dist | Distribution | IE000JJGUKI7 | BNHT099 |
| Evelyn Boulder Investment Fund Institutional GBP Acc | Accumulation | IE000E3TRGG5 | BR4MZ16 |

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| | | | |
|---|--------------|--------------|---------|
| Evelyn Boulder Investment Fund Institutional GBP Dist | Distribution | IE000ND67MJ2 | BNHT0B1 |
| Evelyn Boulder Investment Fund Institutional 2 GBP Acc | Accumulation | IE000681IZI0 | BQWCF7 |
| Evelyn Boulder Investment Fund Institutional 2 GBP Dist | Distribution | IE000EPZO7V9 | BQWCG8 |
| Evelyn Wye Investment Fund K GBP Acc | Accumulation | IE0005XRTXQ1 | BR4MZ38 |
| Evelyn Wye Investment Fund K GBP Dist | Distribution | IE000BP9XO93 | BNHT0D3 |
| Evelyn Wye Investment Fund K2 GBP Acc | Accumulation | IE0005Y9U1A3 | BQTWB94 |
| Evelyn Wye Investment Fund K2 GBP Dist | Distribution | IE000G390893 | BQWBC7 |
| Evelyn Santos Investment Fund Institutional GBP Dist | Distribution | IE0002UHDZP6 | BNHT0G6 |
| Evelyn Defensive Growth Investment Fund K GBP Dist | Distribution | IE000QAQGPJ6 | BN48KQ6 |

APPENDIX 1

Investor Types

- 1 **Individuals (or each joint investor)**
 - Original Subscription Application form
 - A copy of a form of photographic identification that includes the investor's name, date of birth, specimen signature and issue and expiry date
 - A copy of two forms of Proof of Residential Address - Please note a P.O. Box is not acceptable.
- 2 **Company Listed on Equivalent Stock Exchange**
 - Original subscription application form
 - Original Authorised Signature List
 - Copy Proof of listing
- 3 **Company – Not Listed or Listed on Non-equivalent Stock Exchange**
 - Original subscription application form
 - A copy of the Certificate of Incorporation
 - A copy of the Memorandum and Articles of Association (Constitution)
 - Original Authorised Signature List
 - A copy of the board resolution authorising the investment (if applicable)
 - A register of the Directors or a copy of audited annual accounts listing the directors
 - A copy of a form of photographic identification for 2 Directors or 1 Director and one Authorised Signatory
 - Two copies of proof of residential address for 2 Directors or 1 Director and one Authorised Signatory
 - Full list of shareholders detailing the percentage ownership
 - Copies of verification of the identity of any UBO entitled to 25% or more of the issued share capital as per entity type (e.g. Individual, Company, etc.) – where there are no UBO's, the Directors verified should be the most Senior Members of the Board
- 5 **Designated Person/Regulated Entity**
 - Original subscription application form and original Authorised Signatory List
 - Proof of regulation
 - Original Authorised Signature List
- 6 **Nominee of a Designated Person**
 - Original subscription application form
 - Proof of regulation for the Designated Person
 - Original Authorised Signature List
 - Nominee template letter from Designated Person
- 7 **Private Trust – with Designated Person Trustee**
 - Original subscription application form
 - Proof of regulation for the Designated Person
 - Original Authorised Signature List
 - Original AML template letter from Designated Person
- 8 **Private Trust – with No Designated Person Trustee**
 - Original subscription application form
 - Copy of an Extract from the Trust Deed setting out the following points
 - i. Full name of the trust
 - ii. Nature and purpose of the trust
 - iii. Jurisdiction in which the trust was established
 - iv. The names of all of the trustees
 - v. Names of any and all controllers, protectors and/or settlors
 - vi. The names of all beneficiaries that may be entitled to the trust property
 - Copy of evidence that the persons representing the trust are entitled to do so (If not included in the extract of the Trust Deed)
 - Original Authorised Signature List
 - Verification of all Settlor/Protectors/Grantors as per entity type (e.g. Individual, Company, etc.)
 - Verification of Two Trustees or one Trustee and one Authorised Signatory (e.g. Individual, Company, etc.)
 - Verification of all Beneficiaries entitled to the Trust. (e.g. Individual, Company, etc.)
- 9 **Institutional - Charities/Clubs and Societies, Foundations**
 - Original subscription application form
 - Copy of Constitutive Document
 - Full name of the institution
 - Nature and Purpose of the institution
 - Registered office address of the institution
 - If not included in the Constitution Document, List of controllers on headed notepaper: (Principals/Trustees/Directors/Board Members/Protectors/Settlors or equivalent)
 - A copy of a form of photographic identification for two Controllers or one Controller and one Authorised Signatory
 - 2 copies of forms of proof of residential address for two Controllers or one Controller and one Authorised Signatory
 - Original Authorised Signature List

APPENDIX 2

A: Entity Self-Certification for FATCA and CRS

Instructions for completion and Data Protection notice.

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each 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 application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (the Irish Data Protection Act 2018). 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 ICAV, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located 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 and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

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

in the case of CRS only.

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

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

(Mandatory fields are marked with an *)

Section 1: Account Holder Identification*

| | |
|--|--|
| *Account Holder Name: | (the "Entity") |
| Country of Incorporation or Organisation: | |
| *Current Resident or Registered Address: | Number: |
| | Street: |
| | City, Town, State, Province or County: |
| | Postal Code/Zip Code: |
| | Country: |
| Mailing address (if different): | Number: |
| | Street: |
| | City, Town, State, Province or County: |
| | Postal Code/Zip Code: |
| | Country: |

Section 2: FATCA Declaration*:

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

a) The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN: _____

b) The Entity is not a Specified U.S. Person (please also complete Sections 3, 4 and 5)

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

Indicate Exemption _____

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

3.1 Financial Institutions under FATCA:

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

| | | |
|------|---|--------------------------|
| 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 the Entity's Global Intermediary Identification number (GIIN) _____

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

| | | |
|------|--|--------------------------|
| I. | <p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN:</p> <p>Sponsor's Name: _____ Sponsor's GIIN: _____</p> <p><i>Note: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p> | |
| II. | <p>The Entity is an Exempt Beneficial Owner Please tick and confirm the category of Exempt Beneficial Owner:</p> <p>I. Government Entity II. International Organisation III. Foreign Central Bank IV. Exempt Retirement Fund V. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p> | <input type="checkbox"/> |
| III. | The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement). Indicate Exemption _____ | <input type="checkbox"/> |
| IV. | The Entity is a Non-Participating Foreign Financial Institution | <input type="checkbox"/> |
| V. | The Entity is an Excepted Foreign Financial Institution. Indicate Exemption _____ | <input type="checkbox"/> |
| Vi. | <p>The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN:</p> <p>Trustee's Name: _____ Trustee's GIIN: _____</p> | <input type="checkbox"/> |

3.4 Non-Financial Institutions ("NFFE") under FATCA:

If the Entity is not a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the below categories:

| | | |
|------|--|--------------------------|
| I. | Active NFFE | <input type="checkbox"/> |
| II. | <p>Passive NFFE (Please tick the box that applies)</p> <p>I. Passive NFFE with no Controlling Persons that are specified U.S Persons. II. Passive NFFE with Controlling Persons that are specified U.S Persons. (If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2.)</p> | <input type="checkbox"/> |
| III. | Excepted NFFE | <input type="checkbox"/> |
| IV. | Direct Reporting NFFE. Please provide your GIIN _____ | <input type="checkbox"/> |

Section 4*: Common Reporting Standard ("CRS") Declaration of Tax Residency (Note that Entities may have more than one country of Tax Residence)

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

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

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

a) You are tax resident in a Jurisdiction that does not issue a TIN

Or

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

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

If 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

Reason B - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)

Reason C - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

***Section 5: Entity's CRS Classification**

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

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

For more information please see the OECD CRS Standard and associated commentary.

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

5.1 Financial Institutions under CRS:

If the Entity is a *Financial Institution*, **Resident in either a Participating or Non-Participating CRS Jurisdiction** please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

| | | |
|-----|--|--------------------------|
| I. | A Reporting Financial Institution resident in a participating CRS jurisdiction | <input type="checkbox"/> |
| II. | A Financial Institution Resident in a Non-Participating Jurisdiction (Please also tick the box that applies) | |
| | o An Investment Entity resident 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 in section 6 below and complete a separate individual self-certification forms for each of your Controlling Persons") | <input type="checkbox"/> |
| | o An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution | <input type="checkbox"/> |
| | o Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company | <input type="checkbox"/> |

| | | |
|------|---|--------------------------|
| III. | Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below: <ul style="list-style-type: none"> ○ Governmental Entity ○ International Organization ○ Central Bank ○ Broad Participation Retirement Fund ○ Narrow Participation Retirement Fund ○ Pension Fund of a Governmental Entity, International Organization, or Central Bank ○ Exempt Collective Investment Vehicle ○ Trust whose trustee reports all required information with respect to all CRS Reportable Accounts ○ Qualified Credit Card Issuer ○ Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law: _____ | <input type="checkbox"/> |
|------|---|--------------------------|

5.2 Non Financial Institution ("NFE") under CRS:

If the Entity is a not defined as a Financial Institution under CRS then please tick one of the below categories confirming if you are an Active NFE or Passive NFE.

| | | |
|------|---|--------------------------|
| I. | Active NFE – a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the established securities market on which the corporation is regularly traded: _____ | <input type="checkbox"/> |
| II. | Active NFE – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____ Please provide details of the securities market on which the Entity is regularly traded: _____ | <input type="checkbox"/> |
| III. | Active NFE – a Government Entity or Central Bank | <input type="checkbox"/> |
| IV. | Active NFE – an International Organisation | <input type="checkbox"/> |
| V. | Active NFE – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE) | <input type="checkbox"/> |
| VI. | Passive NFE - (if this box is ticked, please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate Individual including Controlling Person's Self-Certification for FATCA and CRS form as indicated in section 6.2 for each Controlling Person(s)) | <input type="checkbox"/> |

**** Section 6: Controlling Persons:**

NB: Please note that each Controlling Person must complete a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form.

If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.
<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form for each Controlling person as per 6.2 below:

6.1 Indicate the name of all Controlling Person(s) of the Account Holder:

| | |
|------|--|
| I. | |
| II. | |
| III. | |

Note: In case of a trust, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.

6.2 Complete a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form for each Controlling Person listed in Section 6.1.

Section 7: Declarations and Undertakings*

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

I/We acknowledge and consent 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.

I/We on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) 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)*:

B: 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 Act 2018). 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 ICAV, 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 and guidance 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/common-reporting-standard/> 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):

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.

***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 only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

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

If 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
- Reason B** - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)
- Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Section 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 | <input type="checkbox"/> | |
| Controlling Person of a legal person – control by other means | <input type="checkbox"/> | |
| Controlling Person of a legal person – senior managing official | <input type="checkbox"/> | |
| Controlling Person of a trust – settlor | <input type="checkbox"/> | |
| Controlling Person of a trust – trustee | <input type="checkbox"/> | |
| Controlling Person of a trust – protector | <input type="checkbox"/> | |
| Controlling Person of a trust – beneficiary | <input type="checkbox"/> | |
| Controlling Person of a trust – other | <input type="checkbox"/> | |
| Controlling Person of a legal arrangement (non-trust) – settlor-equivalent | <input type="checkbox"/> | |
| Controlling Person of a legal arrangement (non-trust) – trustee-equivalent | <input type="checkbox"/> | |
| Controlling Person of a legal arrangement (non-trust) – protector- equivalent | <input type="checkbox"/> | |
| Controlling Person of a legal arrangement (non-trust) – beneficiary equivalent | <input type="checkbox"/> | |
| Controlling Person of a legal arrangement (non-trust) – other-equivalent | <input type="checkbox"/> | |

***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.

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):** _____