



Artemis Funds (Lux)
GBP, EUR, USD, CHF
Account opening form

APPLICATION FORM

All investors must complete Sections 1 to 10 (as appropriate) and each party to the account must sign the form.

The form should be returned, together with the required documentation as detailed in the appendix 1:

(The "Fund")

c/o Northern Trust Global Services SE

(The "Administrator")

10, rue du Château d'Eau, L-3364 Leudelange, Grand Duchy of Luxembourg

Phone number: +352 28 29 41 52

Facsimile number: +352 28 29 44 59

E-mail for general queries: ARTEMIS-TA-LUX@NTRS.COM

E-mail for email-dealing: ARTEMIS-EMAIL-DEALING@NTRS.COM

IMPORTANT INFORMATION

SHARES IN THE COMPANY MAY NOT BE SOLD OR OTHERWISE TRANSFERRED TO, OR BE HELD BY, US PERSONS AS DEFINED IN THE PROSPECTUS.

Please ensure that you have read and understood the latest full prospectus for [add fund name] (the "Fund") and the relevant Key Investor Information Document (KIID) for the fund(s) into which you are investing.

If you have any questions regarding the completion of this Form, please contact Northern Trust Global Services SE (the "Administrator") at the number set out above.

Please complete this Form and return it by facsimile or e-mail and, where requested send the original to the Administrator at the address set out above.

Please ensure that sections related to FATCA/CRS self-certification (page 29); well-informed investor (page 36) and signatures at the end of this document (page 41) are duly executed by the account holder(s).

All Sections of this application form must be fully completed and legible. Please note that a failure to correctly complete all the relevant sections or to provide the correct anti-money laundering documentation may result in delays or even the rejection of the account opening request and related transaction. Please ensure valid telephone number(s) and email address(es) are reported to allow effective communication and reporting.

Please complete this form in BLOCK CAPITALS.

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SECTION 1 - INVESTOR INFORMATION : INSTITUTIONAL/ENTITY INVESTOR

1.1 General details

Legal entity name (full designation, please): _____

Registration address of the entity: _____

Phone Number: _____

Email Address: _____

Account designation:

(Note that this document legally binds the entity for all further registers with a different designation)

Country & date of Incorporation: _____

Legal form of the company: _____

Type of business activity: _____

Tax Identification number *(if applicable)*: _____

What is the business object of the investor? _____

Will dealing instructions be sent via swift? YES NO

If YES, please indicate the swift code used: _____

Will dealing instructions be sent via Email? YES NO

If YES, please indicate the email address used: _____

Legal representative(s) and/or contact person(s) entitled to open/act on the account and/or place deals:

Representative 1

Representative 2

First name and Surname: _____

Place and date of birth: _____

Nationality: _____

Address: _____

Mailing/business place address: _____

National identification number: _____

Email address: _____

Phone Number: _____

All communications will be sent to the first named registered holder. However, all joint applicants must sign this application.

If this form is signed by an attorney or other agent, the original or a certified copy of the authority of the attorney or agent must accompany this form.

A corporation should execute under its common seal or sign by a duly authorized officer who should state his representative capacity.

Additional Recipient of Statements:

Please insert below the name and contact details of an additional person or entity to whom statements of your holdings should be sent (if applicable):

Name: _____

Address: _____

Email: _____

1.2 Entity type

Please tick the relevant box below (entity type) and complete the information for the specific entity type in section 1.4, and, if applicable, 1.5, or 1.6, or 1.7, depending on your answers section 1.3 (please find additional guidance in the Appendix 1 of this Application Form)

- Financial Institution, Nominee Company, Collective Investment Scheme** ("CIS"), **Pension Scheme** (regulated only, including Trust Pension Schemes) and any **other financial company** (i.e. Central Bank, Insurance, etc.)
- Commercial Company** (Listed or not on a Regulated Market*), **LLC, Partnership Foundation** (or similar entity), **Club/Society, Association/Trade Union, Public body, Non regulated Pension Scheme** (other than Trust)
- Trust** (patrimonial, non-regulated Trust Pension Scheme), **Charity, Church, School/University, other**

1.3 Nature and intended purpose of the business relationship with the Fund

Required to comply with CSSF Circular 17/650 Section 1.1.1 and with CSSF Regulation No 12-02 Article 24.

Please tick the boxes below where relevant.

A. Please tick the boxes below where relevant.

- Distribution of units and shares to own clients
- Wrapping unit-linked products
- To generate a return on investment
- Nominee
- Platform for transmitting orders
- Client Investment for diversification
- Other(s) (please specify): _____

B. Expected Number & Frequency of transactions (Please provide details):

C. Expected Duration of the Business Relationship with the Fund:

- 1-3 years
- 3-5 years
- 5 years +

D. Commercial Nature/Business Purpose of the Account Holder:

1.4 Regulated status

A. Listing on a Regulated Market*

Are you listed on a Regulated Market*? YES NO

If you are listed, please indicate the name of the stock exchange: _____

*Regulated Market: As defined under Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments ("MiFID II").

B. Regulated Entity within the meaning of compliance, anti-money laundering and anti-terrorism financing perspectives as per FATF Recommendations on International Standards on Combating Money Laundering and the Financing of Terrorism & Proliferation?

YES, we are directly regulated for AML-CTF purpose (please provide a Proof of Regulation)

Name of our regulator: _____

Type of our business license: _____

NO, but we are fully owned and controlled by a regulated financial institution

Legal entity name of our Parent Company: _____

Percentage of ownership: _____

Place of incorporation of our Parent Company: _____

Name of the regulator of our Parent company (please provide a Proof of Regulation)

C. **NONE of the above**. We are not regulated and we do not have a regulated parent company.

(If selected, please complete instead the required information depending on your entity type which follows).

1.5 Commercial Company, Foundation, Club, Association, Party, Government, other

Does the Entity have its own legal personality (not a shelter foundation): YES NO

The legal form of the Entity is: _____

The Entity is incorporated in (specify country): _____

1.6 State agency, Government, Public Administrations or Enterprises

Name of the governance committee or equivalent overseeing the activities of the agency (if applicable):

Type of Relationship with the State: _____

1.7 Trust (excluding Regulated Pension Schemes)

The Trust is governed by the laws of:

The Trust is revocable: YES NO

Legal form of the Trust is: _____

■ The Trustee(s) is(are):

Full Legal Name _____

Legal form _____

Place and Date of Birth (if individual) / Incorporation _____

Nationality (if individual only) _____

Permanent Residential Address (if individual) /
Address of the registered office and, if different,
a principal place of business; _____

Where appropriate, national identification number
(if individual) / registered number _____

Trustee is supervised and regulated by

▪ **The Settlor(s) / Grantor(s) is/(are):** _____

Full Legal Name _____

Legal form _____

Place and Date of Birth (if individual) / Incorporation _____

Nationality (if individual only) _____

Permanent Residential Address (if individual) /
Address of the registered office and, if different,
a principal place of business; _____

Where appropriate, national identification number
(if individual) / registered number _____

Trustee is supervised and regulated by _____

▪ **The Protector is (are):**

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

1.8 Relationship: “acting on our own behalf” or “on behalf of a Third party”

Please tick when relevant boxes.

A. We hereby certify that we are acting **on our own behalf** (investing our own money)

(If this option does not apply, please complete the section section B including (i) and (ii) which follow)

B. We are acting **on behalf of a third party** (please tick relevant boxes in (i) and (ii))

We are acting on behalf of a third party and commit to provide the information below as well as, upon request, the AML/KYC identification and verification data and other relevant documentation on the identity of the underlying investors and their beneficial owners without delay.

(i) We specify the profile of the investors we provide our service to as follows:

Retail investors High Net Worth Individuals and family offices

Commercial companies Insurance companies

Investment fund Pension Schemes and plans

Others (please specify):

Our approximate number of client is: _____ as of _____

(ii) We offer fund share/units to customers from/in countries identified as jurisdictions with AML-CTF strategic deficiencies:

N/A Yes and we do list those jurisdictions with AML-CTF strategic deficiencies here:

We also confirm that we undertake to verify the identity of all third parties on whose behalf we act in the Fund.

1.9 Identification of the directors or equivalent

Please provide a full list of your executive and non-executive directors or any person(s) exercising similar position and please complete the following information for any of these persons who are currently acting (or may act in the future) on the account/ involved in the business relationship:

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

Profession/Occupation _____

1.10 Identification of the Ultimate Beneficial Owners

Please complete below where relevant.

In accordance with Article 1(7) of the Luxembourg Law of 12 November 2004, please follow Steps A, B & C in order to determine ultimate beneficial ownership of the account holders' structure. (If the account holder is acting on behalf of a 3rd party, Step D will also be required). For certain investor types, e.g. trusts and foundations, CSSF Circular 19/732 has defined certain roles as being equivalent to beneficial owner. Information and documentation may, thus, be requested accordingly.

A. Identify the natural person(s) who directly or indirectly holds or controls a sufficient percentage, namely 25% plus one, of the shares/units, voting rights or ownership of the account holder entity; (Please note, in some cases requiring Enhanced Due Diligence, a threshold of 10% plus one will apply).

Is/are there any natural person(s) who directly or indirectly holds or controls a enough percentage, namely 25% plus one, of the shares/units, voting rights or ownership? YES NO

If the response is Yes, please complete the following table. If the response is No, please proceed to B.

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

Profession _____

Percentage of Ownership _____

B. Where no natural person can be identified under A., please complete the following table to identify any person who controls the legal entity via other means;

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

Profession _____

Percentage of Control _____

C. Where no person under points A. and B. above is identified, identify any person who holds the position of senior managing official.

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

Profession _____

We commit to communicate any subsequent change of Ultimate Beneficial Ownership to Northern Trust without any delay.

D. If you are acting on behalf of a 3rd party please also complete the following:

- There is/are no underlying investor(s) owning more than 25%* of the shares or units of this register account through us. *Please note that in some cases a threshold of 10% may apply
- There is/are one or more underlying investor(s) owning more than 25%* of the shares or units of this register account through us whose details are provided in the Underlying Investor Declaration provided separately. *Please note that in some cases a threshold of 10% may apply.
- We commit to communicate any subsequent change of Ultimate Beneficial Ownership to Northern Trust without any delay.

1.11 Identification of the chain of ownership (multilayer structure)

Is your legal entity a multilayer structure?

- YES NO (If **YES**, please continue onto the following documentary request).
- We attach the most up to date, signed and dated multilayer structure chart including percentage of shareholding/control for each entity in the structure.
- We confirm that the structure chart(s) provided is accurate & up to date
- Others (please specify): _____

Note: Where legal persons or arrangements exist in the ownership structure between the customer and the Ultimate Beneficial Owner, the following information shall be recorded for each:

- Denomination;
- Legal form;
- Address of the registered office and, if different, a principal place of business;
- Where appropriate, official national identification number;
- Executive and non-executive directors or persons exercising similar positions (for the legal arrangements).

Is there any chain of ownership between the investor and the Ultimate Beneficial Owner?

- YES NO

If the answer is **YES**, please complete the following table for each of the legal entities and/or multiple

Layer 1

Denomination _____

Legal form _____

Address of the registered office and, if different, a principal place of business; _____

Where appropriate, official national identification number _____

Executive and non-executive directors or persons exercising similar positions (for the legal arrangements).

Please provide a list of current directors or persons exercising similar positions for each entity in the structure.

First name	Last name	Residential Address	Tax residential address	Place of Birth	Date of Birth	Official National ID Number <i>(where appropriate)</i>	Profession/ Occupation

1.12 Identification of other signatories (if any)

Please provide the following information concerning the signatories of your entity, who are or will be involved in the business relationship with Northern Trust.

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

Profession/Occupation _____

1.13 Identification of other related parties (if applicable)

- a. Please confirm if there is any third-party legal entity, which acts on behalf of your entity during the business relationship with Northern Trust, who are or will be involved in the business relationship with Northern Trust. YES NO

If the above answer is **YES**, please complete the table(s) below.

Full Legal Name _____

Legal Form _____

Address of the registered office and, if different,
a principal place of business _____

Where appropriate, registered number _____

Executive and non-executive directors or persons exercising similar positions (for the legal arrangements).

Please provide a list of all directors and complete the table hereunder for each director who is or will be acting on the account (if applicable).

First Name _____

Last Name _____

Date of Birth _____

Place of Birth _____

Nationality _____

Residential Address _____

National identification number (Where appropriate) _____

- b. Are there any third-party natural persons related which acts on your behalf of your entity?

YES NO

If the above answer is **YES**, please complete the table(s) below.

First Name	_____
Last Name	_____
Date of Birth	_____
Place of Birth	_____
Nationality	_____
Residential Address	_____
National identification number (Where appropriate)	_____

1.14 Source of funding and wealth

A. SOURCE OF FUNDS

According to the CSSF Circular 17/661 means the origin of the funds involved in a business relationship or occasional transaction. It includes:

- i) the means through which the customer's funds were transferred as well as
- ii) the activity that generated the funds used in the business relationship.

Please note that no third party payment is accepted.

(i) Please indicate the origin/source of funds invested/to be invested:

- Same as Bank Account to which Redemption/Dividend payments should be paid.
- Different to Bank Account to which Redemption/Dividend payments should be paid and details have been/will be provided separately.

Note. Documentary evidence of the information provided here may be required (i.e. Bank statement)

(ii) Please indicate the activity that generated the funds you are investing by ticking the applicable box(es):

- | | | |
|-----------------------------------------------------------------------|-------------------------------------------------------|-------------------------------------------------------|
| <input type="checkbox"/> Salary or bonus | <input type="checkbox"/> Savings | <input type="checkbox"/> Profit from sale of business |
| <input type="checkbox"/> Profit from sale of investment | <input type="checkbox"/> Inheritance or gift | <input type="checkbox"/> Client's money |
| <input type="checkbox"/> Investment income (e.g. dividends, interest) | <input type="checkbox"/> Profit from sale of property | |
| <input type="checkbox"/> Employee Pension Contributions | <input type="checkbox"/> Loan | |
| <input type="checkbox"/> Others (please specify): _____ | | |

Note. Documentary evidence of the information provided here may be required

B. SOURCE OF WEALTH

According to the CSSF Circular 17/661, this means the origin of the customer's total wealth.

(i) Please provide details on how your overall wealth was accumulated:

Note. Documentary evidence of the information provided here may be required

(ii) To be completed only by corporate investors which are not regulated Financial/Credit institutions:

Total balance sheet / Total assets of the last 3 years:

Profit and losses of the last 3 years:

SECTION 2 - AGENT(S)

In the case that application form is being completed on behalf of any investor (institutional or retail); please complete this section as agent.

Agent company information: _____

Agent name: _____

Address: _____

Postcode/ZIP code: _____ County/State/Province: _____ Country: _____

Contact Name: _____ Telephone: _____

Email address: _____

Authorised Signatory _____

Authorised signatory _____

Print Name: _____

Print Name: _____

Date: _____

Date: _____

Signature: _____

Signature: _____

SECTION 3 - DETAILS OF INVESTMENT & PAYMENT DETAILS

3.1 Investment Details:

Please indicate here below the details of your investment and refer to the Prospectus for the minimum investment in each sub-fund for a particular share class.

This section may be left blank if this form is being completed only for account opening purposes.

3.1.1 Subscription in amount

Sub-fund name	Share class	ISIN code	Subscription amount*	Currency

*Please note that commas denote thousands and that full stop denote pennies /cents in respect of sterling /euros and dollars respectively. For example: £10,000.25 = ten thousand pounds and 25 pence.

3.1.2 Subscription in quantity

Sub-fund name	Share class	ISIN code	Subscription quantity*

*Please note that commas denote thousands and that full stop denoted decimals. For example: 10,000.25 = ten thousand shares spot 25.

Share decimalisation can be found in the Fund's Prospectus.

What is the purpose of the investment into the Fund? _____

Expected amount of investment: _____

Expected amount of subscription/year: _____

3.1.3 Distributions

Please select how you would like us to deal with any distributions.

Distributions are automatically reinvested unless you indicate otherwise.

Cash distribution will be sent to the bank account details provided in section 4.4 below.

Cash

3.2 Fund Payment Details

Please note the following details to wire transfer the subscription cash amount:

[TO ADD: STANDARD SETTLEMENT INSTRUCTION FOR RELEVANT FUND]

(Please use macro to generate SSI, and refer to generation process)

3.3 Investor - Payment details for your investment and redemption facility

Please provide the following information about the bank or financial institution at which you hold an account in your name and from which you are remitting subscription monies. This information will be used by the Fund or its agents to pay any proceeds. Please notify the Administrator if your bank account information changes.

Payments will be paid only to registered shareholders (no third party payment can be executed) and made by electronic bank transfer (in shared mode for charges).

The bank statement must contain the beneficiary full name and account number/IBAN, the beneficiary bank name, identifier code (SWIFT, ABA or SORT) and address, the correspondent name, identifier code and address as well as the account of the beneficiary bank with its correspondent when applicable. A statement dated less than 6 months is required as a standard but an original version dated less than 3 months may be required when enhanced due diligence applies. For institutional investors, the standard settlement instructions may also be provided via an official booklet or through a side letter signed by duly authorised persons.

Account holder Name: _____

Account Number (IBAN if existing): _____

Currency of the account: _____

Beneficiary Bank:

NAME: _____

ADDRESS: _____

SWIFT/SORT CODE: _____

Correspondent Bank of the Beneficiary Bank (if relevant):

NAME: _____

ADDRESS: _____

SWIFT/SORT CODE: _____

3.4 Investor - Distribution (Dividends) Payment details

If you have opted for Distribution Shares, please indicate below where the income should be paid, if different from the account indicated in the above section.

Account holder Name: _____

Account Number (IBAN if existing): _____

Currency of the account: _____

Beneficiary Bank:

NAME: _____

ADDRESS: _____

SWIFT/SORT CODE: _____

Correspondent Bank of the Beneficiary Bank (if relevant):

NAME: _____

ADDRESS: _____

SWIFT/SORT CODE: _____

SECTION 4 - E-MAIL DEALING FACILITY

If e-mail dealing is chosen (section 1.1), dealing instruction will be accepted only from the email address indicated above (section 1.1). Kindly read section below 'Request for electronic instructions capability and acceptance of risks'.

4.1 Request for electronic instructions capability and acceptance of risks

I/We request the ability to send duly signed dealing instructions for trading in the Fund (subscriptions, switches, transfers and redemptions, excluding initial applications) to the administrator in the form of a portable document format ('PDF') or a commonly used equivalent scanned form, transmitted via email and to have them acted upon instead of the usual requirement of physically delivering original signed instructions or sending them by facsimile. I/We understand and agree that the Fund and the administrator will rely on such electronic instructions received in good faith without further enquiry. I/We authorise the Fund and the administrator to rely on such electronic instructions, based on the terms contained under this section. If further clarification is required, this includes the right for the Fund and the administrator to request original documentation. I/We understand and accept that electronic communications are not a secure form of communication and may be intercepted, altered or corrupted by unauthorised persons. I/We understand and accept that using and relying on electronic communications involves increased risk of fraud and of miscommunications including those due to a telecommunications system or equipment failure, misdirected communications or illegibility of the instructions or documents. I/We understand that I/we may still elect at any time to deliver originals either physically or by facsimile. I/We acknowledge that if upon sending dealing instructions via e-mail, I/we do not receive (i) a prompt automatic e-mail confirmation back from the Administrator associated e-mail address that is specified in the Application Form and (ii) a telephone call or an e-mail confirmation from a representative of the Administrator within twenty four hours (the "Confirmation Period"), if such instructions are sent on business days in Luxembourg between 9:00am and 6:00pm (CET) and if sent at any other times, the Confirmation Period will start the following business day in Luxembourg from 9:00am (CET), confirming the receipt of such dealing instructions.

I/we will follow-up via telephone on +352 28 29 41 52 or email to ARTEMIS-EMAIL-DEALING@NTRS.COM whether the Administrator has received such e-mail dealing instruction. If sending dealing instructions via e-mail, I/we undertake to ensure that the e-mail is sent from an address provided to the Administrator by me/us below in this Application Form, e-mail subject line shall only read "Email dealing" and the documents attached to such e-mail are in PDF or other commonly used equivalent scanned format.

Any email dealing must be sent to ARTEMIS-EMAIL-DEALING@NTRS.COM

4.2 Right of the Fund and the Administrator to not act on facsimile, e-mails and/or copies

I/We understand and agree that the Fund or the administrator or both may choose not to rely on electronic communications. If this is the case, the Fund and the administrator agree that, whichever of them elects not to act upon the electronic communications, they will try to contact us on the same day to advise us of their decision. I/We will not hold the Fund or the Management Company/AIFM (and they will not be) responsible if they choose not to act on electronic instructions.

4.3 Allocation of risk

I/We agree to bear the risks associated with using and relying on electronic communications except where the Fund or the administrator is grossly negligent or wilfully defaults in undertaking their respective responsibilities. I/We agree that, except where the Fund or the administrator is grossly negligent or wilfully defaults, they cannot accept responsibility for any use of an incorrect email address, interception, failure, alteration or corruption of the electronic instructions, non-receipt of the electronic instructions, failure of the technical infrastructure, or any allotment, transfer, payment or other act done in good faith in accordance with electronic instructions.

If the Fund or the administrator incur a loss of any nature due to their acting or failing to act on electronic communications received from me/us or due to equipment failure or any circumstances beyond the control of the Fund or the administrator, I/we will indemnify and keep indemnified the Fund and the administrator from all such loss, except where the Fund or the administrator is grossly negligent or willfully default in undertaking their respective responsibilities.

SECTION 5 - PRIVACY NOTICE

This notice was updated on 20 May 2020 to include reference to additional types of personal data (electronic messaging and voice and/or video conferencing) and our use of personal data for marketing purposes.

The following privacy notice (the "notice") is issued by Artemis Funds (Lux), referred to in this notice as "we", "our", or "us".

Please note that a separate privacy notice is issued by Artemis Investment Management LLP and any holding company or subsidiary company (including but not limited to Artemis Fund Managers Limited) as defined in section 1159 of the Companies Act 2006; view the Artemis Investment Management LLP privacy notice.

We are compelled to comply with all applicable laws and regulations relating to the processing of personal data and privacy, including

relevant local data protection legislation and, from 25 May 2018, the EU's General Data Protection Regulation (the "Data Protection Legislation").

We act as data controller in respect of the processing of the information we gather about you.

In this policy, "personal data" includes any data which relates to a living individual who can be identified from that data or from that data and other information which is in the possession of, or is likely to come into the possession of, Artemis Funds (Lux) or its representatives or service providers. We collect and use personal data and where applicable this may include information related to your spouse/partner, directors, partners and owners (your "representatives").

Certain personal data is considered to be particularly sensitive and is subject to stricter rules regarding its processing. These categories of personal data are referred to as "sensitive personal data" and include any personal data relating to the racial or ethnic origin of the data subject; their political opinions; their religious (or similar) beliefs; their physical or mental health condition; details of criminal offences or criminal convictions (including the commission or alleged commission of any offence, any proceedings for any offence committed or alleged to have been committed and the disposal of such proceedings or the sentence of any court in such proceedings) and genetic and biometric data.

This notice applies to any personal data we receive from you, create or obtain from other sources and explains how it will be used by us. It is important that you take the time to read and understand this notice so that you understand how we will use personal data and your rights in relation to the personal data we may gather about you.

If you fail to provide certain information when requested, we may not be able to perform any contract we may have entered into with you, or we may be unable to deal with you.

If you have any questions regarding our use of personal data or this notice, including any requests to exercise your legal rights, please contact privacy@artemisfunds.com.

We are committed to working with you to obtain a fair resolution of any complaint or concern about privacy. If, however, you believe that we have not been able to assist with your complaint or concern, and you are located in the European Union, you have the right to lodge a complaint with the competent supervisory authority (e.g., in Luxembourg, the Commission Nationale pour la Protection des Données – www.cnpd.lu (opens in a new window)). We would, however, appreciate the opportunity to deal with your concerns before you approach the relevant data protection authority, so please contact us in the first instance.

Personal data that we collect from you

We will collect and use the following personal data about you and your representatives:

Information you give us

- This is information about you (and your financial adviser/representative or beneficial owner which may include a child for whom you have parental responsibility, if applicable,) that you (and/or your financial adviser/representative, if applicable) give us by filling in forms or by corresponding with us by phone, e-mail, electronic messaging, voice and/or video conferencing or otherwise. The information you give us may include name, address, e-mail address and phone number, financial and debit card information, credit history, identification records.

Information we collect or generate about you and your representatives

- We (or third parties acting on our behalf) sometimes record telephone conversations, electronic messaging and voice and/or video conferencing and monitor email communications to resolve complaints, improve our service and in order to comply with our legal and regulatory requirements. We generate data to improve our service, to manage, administer and take decisions about your account, and to help us market our products. The information we capture in this way may include your name, address, e-mail address and phone number, financial and debit card information, credit history and identification records.

Information we receive from other sources

- Verifying your identity – We will use information provided by third parties (e.g. fraud prevention agencies) when verifying your identity and when carrying out anti money laundering checks. Such information may include some details about any criminal convictions and any allegations regarding criminal activity that relate to you, as well as details of your status as a politically exposed person. It may also include your nationality and identification records (e.g. passport information).
- Intermediaries – We may receive information from dealers, brokers and introducers for the purposes of entering in to and administering your agreement. This may include your name, address, e-mail address and phone number, financial and debit card information, credit history and identification records.
- Public databases – We may obtain information about you from public databases.

For the avoidance of doubt, in the case of institutional investors, personal data includes personal data of individuals linked to such institution.

When you are no longer our client, we continue to process your information as described in this notice, subject to our record retention policies and applicable law.

Why and how we use personal data

Personal data may be used by us in the following ways:

Background checks

- to verify your identity as part of our client onboarding process;
- in order to detect and prevent fraud and money laundering;
- in order to identify politically exposed persons.

Products and services

- in order to manage and administer your accounts and holdings;
- in order to provide you with information, products or services you may request from us;
- where you have provided your consent to do so (to the extent such consent is required by law), to send promotional information about our products and services via the methods you specify (i.e. email, post etc).

Reasons and legal bases we might process personal data

We will process personal data in line with one of the following legal bases:

- in order to perform our obligations under our contract with you; e.g.,
 - administer and manage your subscription;
 - manage your investments and maintain your account(s);
 - verify your information;
 - make capital calls, payments or distributions;
 - report investment activity and fund performance; and
 - generally administer the affairs of a private fund.
- to comply with our legal and regulatory obligations; e.g.,
 - comply with federal securities laws;
 - comply with laws applicable to investment advisers;
 - fulfil our legal, regulatory, and compliance obligations, including identity verification, know your client (KYC), terrorist financing, anti-money laundering, and sanctions checks; and
 - respond to governmental inquiries or examinations, court orders and legal investigations.
- to establish, exercise or defend our legal rights and / or for the purpose of (or in connection with) legal proceedings;
 - for the prevention of fraud; and
 - the use of personal data as described is necessary for our legitimate business interests such as:
 - enforcing the terms and conditions of any agreement we have with you;
 - the recovery of outstanding debts existing under an agreement with you;
 - to send promotional information about our products and services via the methods you specify (where you have provided consent to do so).

We will only use Personal Data for the purposes for which we collected it or as otherwise described in this Privacy

Sharing personal data

- We may disclose personal data to third party service providers in the circumstances described below:
- to ensure the delivery of products or services to you;
- to ensure the safety and security of our data; and
- for internal research and statistical analysis purposes.

We will take steps to ensure that the personal data is accessed only by personnel that have a need to do so for the purposes described in this notice.

We may also share personal data:

- in order to enforce or apply the terms of use and other agreements you have with us;
- with an insurer or insurers for administration, claims handling and fraud prevention (which could include passing it to other insurers);
- with any broker or introducer of an agreement with us;
- with tracing and repossession agents;
- if we sell any of our business or assets, in which case we may disclose personal data to the prospective buyer for due diligence purposes;

- if we are acquired by a third party, in which case personal data held by us about you will be disclosed to the third party buyer; and
- with third party agents for the purposes of providing services to us.

These third parties will be subject to confidentiality requirements and they will only use personal data as described in this privacy notice.

We may also share personal data to the extent required by law, for example if we are under a duty to disclose personal data in order to comply with any legal obligation (including disclosures made to credit agencies), and to establish, exercise or defend our legal rights.

Transfer of personal data outside the European Economic Area

The information you provide to us will be transferred to and stored on secure servers in the European Economic Area (“EEA”). However, from time to time, personal data may be transferred to, stored in, or accessed from a destination outside the EEA. It may also be processed by authorised staff operating outside of the EEA who work for one of our suppliers.

Where we transfer personal data outside the EEA, we will ensure that it is protected in a manner that is consistent with how personal data will be protected by us in the EEA. This can be done in a number of ways, for instance:

- the recipient of the data might be a signatory to binding corporate rules;
- the country that we send the data to might be approved by the European Commission or a relevant data protection authority;
- the recipient might have signed up to a contract based on “standard contractual clauses” approved by the European Commission, obliging them to protect personal data

In other circumstances the law may permit us to otherwise transfer personal data outside the EEA. In all cases, however, we will ensure that any transfer of personal data is compliant with data protection law.

You can obtain more details of the protection given to personal data when it is transferred outside the EEA (including a copy of the standard data protection clauses which we have entered into with recipients of personal data or binding corporate rules) by contacting us in accordance with the “Contact us” section below.

How long we keep personal data

How long we hold personal data for will vary. We will only retain personal data for as long as necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, accounting, or reporting requirements.

To determine the appropriate retention period for Personal Data, we consider:

- the amount, nature, and sensitivity of the personal data;
- the potential risk of harm from unauthorized use or disclosure of your Personal Data;
- the purposes for which we process personal data; and
- whether we can achieve those purposes through other means, and the applicable legal requirements.

Your rights

You have a number of rights in relation to the personal data that we hold about you. These rights include:

- the right to obtain information regarding the processing of personal data and access to the personal data which we hold about you;
- the right to withdraw your consent to our processing of personal data at any time. Please note, however, that we may still be entitled to process personal data if we have another legitimate reason (other than consent) for doing so;
- in some circumstances, the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit those data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us;
- the right to request that we rectify personal data if it is inaccurate or incomplete;
- the right to request that we erase personal data in certain circumstances. Please note that there may be circumstances where you ask us to erase personal data but we are legally entitled to retain it;
- the right to request that we restrict our processing of personal data in certain circumstances. Please note that there may be circumstances where you ask us to restrict our processing of personal data but we are legally entitled to refuse that request;
- the right to object to our processing of personal data where we process personal data in line with our legitimate business interests. Please note that there may be circumstances where you object to our processing of personal data but we are legally entitled to refuse that request;
- the right to object to any automated decision making (including profiling) which we conduct based on personal data, which significantly affects you. Please note that there may be circumstances where you object to us conducting automated decision making but we are legally entitled to refuse that request;
- the right to object to the processing of personal data for direct marketing purposes; and

- the right to lodge a complaint with the data protection regulator (as detailed above) if you think that any of your rights have been infringed by us.

You can exercise your rights by contacting us using the details set out above.

You can find out more information about your rights by contacting the data protection regulator, Commission Nationale pour la Protection des Données – www.cnpd.lu (opens in a new window).

Changes to our privacy policy

We keep our privacy policy under regular review. Any changes we make to our privacy policy in the future will be posted on our website www.artemisfunds.com. Please check back frequently to see any updates or changes to our privacy policy.

SECTION 6 - TAX INFORMATION AND DECLARATIONS

6.1 Tax information

The Applicant(s) acknowledge(s) that it/he//she/they has/have obtained their own independent advice on the taxation consequences of investing in the Fund and that The Applicant(s) have not received any tax or legal advice regarding investment in the Company from the Fund or the Administrator and that this investment is the result of its/his/her/their own decision.

The Applicant(s) agree(s) that if it/he/she/they is/are subject to tax in another country or jurisdiction (or the Fund or its agents have reason to believe or are required to assume that this may be the case), the Fund and its agents may be required by legislation, regulation or by agreement with tax authorities of that country to report on an ongoing basis certain information about you and your accounts and assets you hold with the Fund and its agents on an individual or aggregated basis to a relevant tax authority which then pass that information to the tax authorities where you are subject to tax or directly to the tax authorities in that country. The Fund and/or its may also have to report information about your direct and indirect shareholders or other owners or interest holders and, if you are a trust, your beneficiaries, settlors or trustees.

If the Fund or its agents are required to report information about you, this would include (but is not limited to) information about you, your accounts and assets, for example your account number(s), the amounts of payments

including interest paid or credited to the account(s), the account balance(s) or asset values, your name, address and country of residence and your social security number/taxpayer identification number or similar (if applicable). You may need to provide us with further information, if requested, about your identity and status.

Investors who acquire one or more of the following characteristics need to provide us with a US tax form:

- **An investor who is a US person**
- **An investor with any US indications, such as a US address or US telephone number**
- **A company or trust**

An investor having the intention to invest directly in US securities

We recommend you seek advice from your own Tax adviser as to which is the most appropriate US Tax form for you to complete. In certain circumstances the information which you provide on your US tax form may mean that further documentation will be required.

Copies of the US tax forms can be found on the IRS website: <http://www.irs.gov/pub/irs-pdf/fw8ben.pdf> or <http://www.irs.gov/pub/irs-pdf/fw9.pdf>

The subscriber is:

- investing solely on its own behalf (proceed to section 8.2.2 Tax status of Beneficial Owner)
- a distributor investing for undisclosed clients through an omnibus/custody account (proceed to section 8.2.2 Tax status of Beneficial Owner)
- investing on behalf of a third party as a: Nominee | Trustee | Partner | Agent | Other (proceed to section 8.2.1 Tax status of subscriber investing on behalf of third party)

6.2 Tax status

6.2.1 Tax status of Subscriber investing on behalf of third party

Name _____

Third party investor type (corporate, pension fund, etc.) _____

Tax Identification Number (TIN) _____

6.2.2 Tax status of Beneficial Owner

Name of Beneficiary _____

Main Tax Residency _____

Tax Identification Number (TIN) _____

Other Tax Residency _____

Tax Identification Number (TIN) _____

The Beneficial Owner confirms that the tax residence country (ies) provided represent all countries in which the Beneficial Owner is considered as a tax resident.

6.3 Classification for FATCA purposes

To be completed only if the account holder is a corporate entity

6.3.1 Entities with their own Global Intermediary Identification Number (GIIN)

GIIN: _____

FATCA Classification (please tick where accurate):

- Participating Foreign Financial Institution
- Registered Deemed Compliant Foreign Financial Institution
- Direct Reporting NFFE
- Reporting Foreign Financial Institution under IGA Model 1
- Reporting Foreign, Financial Institution under IGA Model 2

6.3.2 Entities using a Sponsor's Global Intermediary Identification Number (GIIN)

Sponsor's GIIN: _____

Sponsoring Organisation _____

- Sponsored Investment Entity or Controlled Foreign Corporation

¹ Please indicate "N/A" if the country of tax residence either does not issue a TIN or does not require the TIN to be disclosed. Please indicate "Applied For" if you are a newly incorporated company having applied for a TIN. If no TIN is available, please provide an explanation.

- Sponsored Direct Reporting NFFE
- Sponsored closely held Investment Vehicle

6.3.3 Entities without a Global Intermediary Identification Number (GIIN)

- A Certified Deemed-Compliant Financial Institution under IGA Model 2
- Non-Reporting Financial Institution under IGA Model 1
- An exempt Beneficial Owner
- A territory Financial Institution
- A Non-Participating Foreign Financial Institution
- An Active NFE
- A Passive NFFE

6.4 Classification for CRS purposes

Section to be completed only if the account holder is a corporate entity.

6.4.1 Financial Institution (FI)

- Investment Entity with tax residence in non-participating jurisdiction and managed by another FI
- Other Investment Entity
- Financial Institution other than above Investment Entity (Depository institution, Custodial institution, Specific insurance company)

Financial Institution Non Reporting according to your local jurisdiction legislation where you are resident

6.4.2 Non-Financial Entity (NFE)

Active Non-Financial Entity. Corporation that is regularly traded or an affiliate of such corporation

Active Non-Financial Entity – Government Entity or Central Bank

Active Non-Financial Entity – International Organisation

Active Non-Financial Entity other than above Active Non-Financial Entity classifications

Passive Non-Financial Entity*

* Passive Non-Financial (Foreign) Entities as indicated under FATCA or CRS classification above

If the Entity is a Passive Non-Financial (Foreign) Entity or an Investment Entity with tax residence in non-participating jurisdiction and managed by another FI, please provide details of any Controlling Persons by completing the section " 8.5 Controlling Person Self-Certification Form for FATCA and CRS" below. The term Controlling Persons is to be interpreted in a manner consistent with the recommendations of the Financial Action Task Force. If there are no natural person(s) who exercise control of the organisation, then the Controlling Person(s) will be the natural person(s) who hold the position of senior managing official in the organisation.

6.5 Controlling Person Self-Certification Form for FATCA and CRS

6.5.1 Controlling Person Identification (please refer to the glossary in the Appendix 2)

First name and Surname: _____

Place and date of birth: _____

Nationality: _____

Permanent residential address: _____

Mailing address (if different): _____

Official national identification number (where appropriate): _____

6.5.2 FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes*:

Please tick and complete as appropriate.

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

I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

6.5.3 CRS Declaration of Tax Residence (please note you may choose more than one country)

Please indicate all countries of Tax Residence and associated Tax Identification Numbers.

Country of Tax Residence	Tax ID Number ⁽¹⁾

(1) Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN).

If you do not have a Tax ID Number, please explain why: _____

6.5.4 Type of Controlling Person (to be completed by any individual who is a Controlling Person of an Entity)

For Joint or multiple Controlling Person's please use a separate Self Certification Form for each Controlling Person (please refer to the glossary).

Please provide the Controlling Person's Status by ticking the appropriate box	Please tick	Entity Name
a. Controlling Person of a legal person – control by ownership		
b. Controlling Person of a legal person – control by other means		
c. Controlling Person of a legal person – senior managing official		
d. Controlling Person of a trust – settlor		
e. Controlling Person of a trust – trustee		
f. Controlling Person of a trust – protector		
g. Controlling Person of a trust – beneficiary		
h. Controlling Person of a trust – other		
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent		

Declaration and Undertakings

I/We declare that the information provided in this Self-Certification Form is, to the best of my/our knowledge and belief, accurate and complete. I/We undertake to advise the recipient within 30 days and provide an updated Self-Certification Form, where any change in circumstances occurs, which causes any of the information contained in this Self-Certification Form to be incorrect. I/We acknowledge that the information, data disclosed in this Self-Certification Form may be disclosed to the Luxembourg tax authorities or any other authorised delegates under Luxembourg law for tax purposes.

Authorised Signatory	_____	Authorised signatory	_____
Print Name:	_____	Print Name:	_____
Date:	_____	Date:	_____
Signature:	_____	Signature:	_____

SECTION 7 - ANTI-MONEY LAUNDERING (AML) AND TERRORIST FINANCING PREVENTION

Pursuant to the applicable laws and regulations relating to the prevention of money laundering and the financing of terrorism, the Fund, the Management Company/AIFM and/or the Administrator must identify the applicant and the economic origin of the funds to be invested. Such laws and regulations require subscribers to declare to the Fund, the Management Company/AIFM and/or the Administrator their identity and the identity of any Beneficial Owners of the subscription (as defined below). The Fund, the Management Company/AIFM and/or the Administrator are required to establish controls to determine the identity of subscribers, beneficial Owners, investor proxies (and any persons on whose behalf they are acting).

Pursuant to the Luxembourg Law of November 12, 2004, as amended on the fight against money laundering and terrorist financing, the CSSF Regulation n°12-02 of December 14, 2012, the CSSF Circular 17/650 of 17 February 2017 and EU Directives issued by the European Parliament and Council relating to the prevention of money laundering and terrorist financing, as amended from time to time (the "Anti-Money Laundering Laws"), obligations have been imposed on all professionals of the financial sector to prevent the use of undertakings for collective investment for money laundering purposes and terrorist financing purposes.

The Central Administration will perform the procedure for the identification of Shareholders in accordance with the obligations set forth by the Anti-Money Laundering Laws.

Required documentation

Shares/ units will only be issued once the Fund, the Management Company/AIFM and/or the Administrator have received a duly completed, original Application Form and Authorized Signatory List, together with cleared subscription monies and any required identification documents (see below). Should a subscriber fail to provide the requested documents or information, the subscription monies or any required identification documents in a form acceptable to the Fund, the processing of the application may be delayed or rejected.

In relation to any application for subscription or redemption, or transfer of Shares, the SICAV and/or the Central Administration may require at any time such documentation as it/they deem appropriate. Failure to provide such information in a form which is satisfactory to the SICAV and/or the Central Administration may result in any application or Transfer request not being processed. Should documentation not be forthcoming with regard to the return of payments or the redemption of Shares, then such payment may not proceed.

In addition to the Application Form, further documentation will be requested in order to comply with any legal and regulatory requirements. Please see additional details available in Appendix 1.

The list of documents will depend on:

- Entity type: Financial Institution or assimilated (A), Company or assimilated (B), Trust (C), retail investor (D)
- Account risk level determined by the Administrator

In some cases, the applicants are required to supply originals or certified true copies of documents. You may refer to the certification rule in appendix 1

SECTION 8 - DECLARATIONS AND LEGAL INFORMATION

8.1 Documentation up to date

We hereby declare that we will provide NTGS SE with all the required documentation upon structural changes or any other changes affecting the information provided in the sections above & below.

8.2 Politically Exposed Persons

A. Institutional / Entity investor

If you are an **individual, retail** investor, please complete **section B below**.

No Politically Exposed Persons (PEP)

Neither the legal representatives nor the beneficial owner(s), partner, associate or member is/are (a) person(s) who is/are or has/have been entrusted with prominent public functions and/or an immediate family member(s) or person(s) known to be close associates, of such persons entrusted with prominent public functions.

Politically Exposed Persons (PEP)

Our entity is owned, controlled or represented by the following PEP(s) directly or indirectly (in upper chain of ownership entities):

First name	Last name	Residential Address	Tax residential address	Place of Birth	Date of Birth	Official National ID Number <i>(where appropriate)</i>	Profession/ Occupation

B. Individual/retail investors

No Politically Exposed Persons (PEP)

Neither the investor(s) nor the beneficial owner(s) are (a) person(s) who is/are or has/have been entrusted with prominent public functions and/or an immediate family member(s) or person(s) known to be close associates, of such persons entrusted with prominent public functions;

Politically Exposed Persons (PEP)

If our account is controlled or represented at any level by a PEP(s), we commit to disclose them here below and provide name(s), address(es), Place & Date of Birth(s), Nationality, National ID number(s) and specify their public function(s).

8.3 Restrictions on Share Classes/Institutional Share Class

If we subscribe into a Share Class administered by Northern Trust Global Services SE, we certify that we have checked the eligibility of any underlying investor on behalf of whom we act before subscribing in any given Share Class.

We also confirm that we will notify with no undue delay Northern Trust Global Services SE should any underlying investor on behalf of whom we subscribe cease to be eligible to hold any given Share Class.

8.4 Screening and identification of employees

Screening and Identification of Employees

We hereby certify that the identity of our employees is verified and screened against sanction lists issued by the relevant Authorities (such as the ones administered by the European Union, the United Nations and the United States Department of the Treasury - Office of Foreign Assets Control).

Would our entity not perform those controls, we commit to declare it below:

We do not perform identification and screening on our employees

We, the MLRO or the Senior Management confirm that the above statements are true and complete.

Authorised Signatory	_____	Authorised signatory	_____
Print Name:	_____	Print Name:	_____
Date:	_____	Date:	_____
Signature:	_____	Signature:	_____

8.5 "WELL-INFORMED" investor qualification

I/We adhere to the status of well-informed investor as defined by article 2 of the Law of 13 February 2007 relating to Specialised Investment Funds ("the 2007 Law") and agree to provide upon request to the Fund and/or its AIFM and the Administrator such information as the Fund and/or its AIFM and the Administrator determine to be necessary or appropriate to evidence our status of well-informed investor.

The following categories of investors are considered as well-informed investors within the meaning of article 2 of the 2007 Law:

I. "Institutional Investors" within the meaning of Luxembourg laws and regulations, which generally include the following:

- (i) Institutional investors *stricto sensu*, such as credit institutions, other professionals of the financial sector (PFS), insurance and reinsurance companies, social security institutions and pension funds, industrial, commercial and financial group companies, all subscribing on their own behalf and for their own account, and the structures which such institutional investors put into place for the management of their own assets;
- (ii) Credit institutions or PFS established in Luxembourg or abroad and investing in their own name but on behalf of institutional Investors as defined under i above or Professional Investors as defined under II below;
- (iii) Credit institutions or PFS investing in their own name but on behalf of their non-institutional clients on the basis of a discretionary asset management mandate, which prohibits such clients to have a direct claim against the Fund;
- (iv) Undertakings for collective investment (investment funds/collective investment schemes) established in Luxembourg or abroad, even if its investors may not be regarded as being institutional investors.

II. Professional Investors within the meaning of Annex III of the Luxembourg law of 5 April 1993 on the financial sector, as amended.

III. Credit institutions and other PFS established in Luxembourg or abroad which invest in their own name but on behalf of a client, who (a) has adhered in writing to the status of a well-informed investor within the meaning of article 2 of the 2007 Law and has the relevant expertise, experience and capacity to adequately appraise an investment in the Fund, and (b) commits to invest a minimum of € 125,000 in the Fund, or benefits from a confirmation of his/her/its expertise, experience and capacity to adequately appraise an investment in the Fund delivered by a credit institution, a MiFID investment firm or by a UCITS management company.

IV. Any other well-informed investor who fulfils the following conditions:

- (i) declares in writing that it adheres to the status of well-informed investor and invests a minimum of the equivalent of one hundred twenty-five thousand Euro (EUR 125,000) in the Fund; or
- (ii) declares in writing that it adheres to the status of well-informed investor and provides an assessment made by a credit institution, by a MiFID investment firm or by a UCITS Management Company certifying his expertise, his experience and his knowledge in adequately appraising an investment in the Fund.

The conditions set forth above are not applicable to the Board of Directors, other persons who are involved in the management of the SICAV or their respective Affiliates.

Acknowledged and agreed:

Signed in _____
on the _____
by _____
Represented by _____
Title _____
Signature _____

8.6 Acknowledgement and Declarations

The Applicant(s) acknowledge(s) that the details set out above are true and correct and the investment in the Fund(s) reflects its/his/her/their wishes accurately.

The Applicant(s) acknowledge(s) that this application is made on the basis of and subject to the current Prospectus of the Fund, a copy of which was offered, received, read and understood by me/us, and to the provisions of the Instrument of Incorporation of the Company.

The Applicant(s) hereby declare(s) that (i) the Shares/Units are not being acquired in violation of any applicable law or regulation in the jurisdiction in which The Applicant are resident or domiciled, (ii) the Applicant(s) is/are fully informed as to the tax consequences of acquiring, owning and redeeming the Shares/Units in the jurisdiction in which the Applicant(s) is/are resident or domiciled and (iii) the Shares/Units will not be owned beneficially by a person under 18 years of age.

The Applicant(s) declare(s) that I am not/none of us is a United States Person and I am not/none of us is acquiring shares for the account or benefit of any United States Person or with a view to their offer, sale, transfer or delivery, directly or indirectly, in the United States or to or for the benefit of any United States Person (as such a term is defined in the Prospectus).

The Applicant(s) understand(s) that income received and redemptions paid will only be made to the registered shareholders(s).

The Applicant(s) accept(s) that no third party payments will be made.

The Applicant(s) acknowledge(s) that the Fund, the Investment Manager, the Depositary and the Administrator shall be held harmless and indemnified against any loss arising as a result of any acquisition by the Applicant(s) of the Shares/Units in violation of any applicable law or regulation in the jurisdiction in which the Applicant(s) is/are resident or domiciled.

The Applicant(s) acknowledge(s) that due to legislation aimed at combating money laundering in force in Luxembourg, the Administrator will require proof of identity before this application can be processed. The Applicant(s) has/have read and understood the provisions in this Application Form entitled 'Anti-Money Laundering Declarations' and provided the required information and documentation to the Administrator.

The Applicant(s) declare(s) that he/she/they will provide the Fund with any documentation, information, waivers and certifications that the Fund may request concerning or relating to (a) sections 1471 to 1474 of the Internal Revenue Code of 1986 (the 'Code'), as amended, or any associated regulations or other official guidance, (b) any treaty, law, regulation or other official guidance enacted in any other jurisdiction, or relating to an intergovernmental agreement between the United States of America and any other jurisdiction which (in either case) facilitates the implementation of paragraph (a); or (c) any agreement pursuant to the implementation of paragraph (a) or (b) above with the US Internal Revenue Service, the US government or any governmental or taxation authority in any other jurisdiction (collectively 'FATCA').

The Applicant(s) will notify the Fund within 30 days of the occurrence of any change in circumstances that causes any documentation, information, waiver or certifications provided by the undersigned pursuant to the preceding sentence to be incorrect, obsolete or invalid and (ii) promptly provide corrected information and execute and deliver updated and valid documentation, waivers and certifications upon the occurrence of any change in circumstances described in clause (i) hereof.

The Applicant(s) hereby give(s) the Funds and Northern Trust Global Services SE, acting in its capacity as Administrator of the Fund, the instruction to provide the Fund with their shareholding positions in the Fund together with their complete name and details on a regular basis. The Applicant(s) kindly ask(s) the Fund and Northern Trust Global Services SE to provide such reporting on the frequency determined by the Fund from time to time until such time as any written instruction to the contrary is provided from the Applicant(s).

The Applicant(s) acknowledge(s) that the Shares/Units have not been and will not be registered under the 1933 Act or any United States State Securities Laws.

The Applicant(s) hereby declare(s) that unless The Applicant(s) has/have received the prior written consent of Northern Trust Global Services SE, the Shares/Units are not being acquired directly or indirectly in the United States or by (or for the benefit of) a US Person (as defined in the prospectus).

The Applicant(s) hereby understand(s) that, Shares/Units will be issued in non-certificated form, and a holder number will be allocated to the Applicant(s) on the contract note issued by the Administrator and The Applicant(s) must quote this number on all correspondence with the Administrator which shall not act upon any instruction unless it contains such holder number.

The Applicant(s) further understand(s) that the Administrator is authorized to accept and execute any instructions given by facsimile or otherwise in writing in respect of such Shares/Units irrespective of the amount and, in the case of transfers, of the name or signature of the transferee and the Administrator shall not be required in any such case to require proof or identity, but shall be entitled to accept the Applicant(s) holder number as proof of authenticity.

The Applicant(s) understand(s) that the Fund has issued a key investor information document ('KIID'), per Share Class. The Applicant(s) acknowledge(s) that the most up-to-date version of the KIIDs can be obtained from the website of the Fund and consent to being provided with the KIIDs in this form via the website. The Applicant(s) acknowledge(s) and confirm (s) that, once the KIIDs have been issued, the Applicant(s) has/have had the opportunity to receive, read and understand the relevant KIID(s) prior to making any application for Shares/Units in the Fund.

The Applicant(s) confirm(s) that he/she/they has/have read and understood the information contained in this Application Form and request the Administrator to act in accordance with The Applicant(s)'s instructions. The Applicant(s) confirm(s) that this application is made in accordance with the terms set out in the Prospectus and KIID for the relevant Share Class.

The Applicant (s) acknowledge(s) and agree(s) that an investment in the Fund should be regarded as long term in nature and should form only part of a balanced investment portfolio – it is only suitable for experienced investors who appreciate the risks involved. The Applicant(s) may not recoup the amount originally invested.

The Applicant(s) acknowledge(s) and agree(s) that any confidential information provided to the Fund, the Investment Manager or its investors shall be kept confidential by the Fund, Investment Manager and its investors and shall not be disclosed to any third party unless (i) required by law or by any court of law or by any regulatory authority; (ii) required in connection with any Investment (or potential Investment) made or to be made by the Fund (including but not limited to requirements to disclose the identity and/or holding of any investor as a precondition of the Fund making an investment); or (iii) with the prior consent of such investor (such consent not to be unreasonably withheld or delayed). Confidential information shall mean information in relation to an investor's name, citizenship, residency, financial information, ownership or control (both direct and indirect), information in relation to its holding in the Fund.

The Applicant(s) acknowledge(s) that where Shares/Units are issued to and held within a recognized clearing and settlement system, The Applicant(s)'s name will not appear on the Fund's Register. The Applicant(s) Shares/Units will be held in a nominee capacity that may differ depending on the arrangements the Fund has made with the specific recognised clearing and settlement system.

The Applicant(s) acknowledge(s) that he/she/they may, in such case, not be able to fully exercise their rights directly against the Fund.

SECTION 9 - APPLICABLE LAW AND JURISDICTION

This Subscription Form shall be enforced, governed and construed in all respects in accordance with the laws of the Grand-Duchy of Luxembourg. Any dispute, controversy or claim arising out of or relating to this Subscription Form shall be submitted to the jurisdiction of the courts of the district of Luxembourg-City.

The following forms of identification and verification need to be provided. Documents will need to be certified by an Embassy, Notary Public, Solicitor or an authorized representative within an acceptable banking institution.

SECTION 10 - SIGNATURE(S)

IMPORTANT INFORMATION

Please note we strongly advise all investors to read and consider the current Prospectus before completing this application form. In order to comply with money laundering legislation, the Fund and the Administrator reserve the right to request applications for shares to provide proof of identity and origin of monies being invested. Where it is necessary for us to hold money on your behalf, we will do so in a segregated client account without paying interest.

By signing below the Applicant hereby (i) states all of the representations, warranties and covenants made in this application are true and correct, (ii) represents and warrants.

All investors must sign here:

Authorised Signatory	Authorised signatory
Print Name: _____	Print Name: _____
Date: _____	Date: _____
Signature: _____	Signature: _____

Authorised Signatory	Authorised signatory
Print Name: _____	Print Name: _____
Date: _____	Date: _____
Signature: _____	Signature: _____

APPENDIX 1 - CUSTOMER DUE DILIGENCE REQUIREMENTS PER ENTITY TYPE

The section below details the documents (and their format: simple copy, Original or Certified True Copy ("CTC")) required by the administrator in order to make your account compliant to applicable laws and regulations. The list of documents depends on:

- **Entity type:** Financial Institution or assimilated (A), Company or assimilated (B), Trust (C), retail investor (D)
- **Account risk level determined by the administrator risk analysis:**

The level of risk depends on a combination of factors such as your country of residence, sector of activity, if the entity is regulated and/or listed, etc. Our analysis is based on the information provided to the administrator AML specialists.

Due Diligence applicable to your account:

The administrator invites you to provide us with the set of documents under "STDD - Standard Due Diligence" of your entity type. We draw your attention on the fact that the risk level of your account may evolve until full completion of the documentation analysis. Would your risk level be considered as higher during our review, we would require additional information and/or documents to comply with the Enhanced Due Diligence (EDD) requirements.

Simplified Due Diligence (SDD) -Would you think that a SDD could be applied to your account, please make sure you get the formal approval from the administrator before providing us with the SDD pack of documents.

Power of Attorney (POA):

Any entity authorizing a third party to act on its account will provide the administrator with a duly dated and signed document, detailing the power of the third party. Any third party authorized to act on an account will also be invited to provide the administrator with a full pack of documentation based on its entity type and risk level.

Financial Institution, Nominee Company, Collective Investment Scheme ('CIS'), Pension Scheme (regulated, not regulated, including Trust Pension Schemes) and any other financial company (i.e. Central Bank, Insurance, etc.)

A. All financial/credit institutions and their branches/ subsidiaries/ nominees

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) application Form	Copy	Original	Original
(ASL) authorized Signatures List (dated, certified by 2 auth. Persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, parent letter or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC
Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
Evidence of regulation	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Wolfsberg Questionnaire (if acting OBO 3rd party only)	Copy	Copy	CTC – Original
AML Letter	n/a	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

In case the entity is a Nominee Company, or a subsidiary of a regulated financial institution, please also provide,

Documents to provide to NTGS SE	SDD	STDD	EDD
Parent Company letter (signed by Compliance officer)	Copy	n/a	n/a
Parent (ASL) authorized Signatures List	Copy	n/a	n/a
Parent Wolfsberg Questionnaire	Copy	Copy	Copy
Evidence of regulation of the parent entity	Copy	Copy	CTC – Original

B. Public bodies (government or public authority)/Sovereign Wealth funds

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner	>25% info	>25% copy	> 10% CTC
Source of Wealth / Source of Funds	Info	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original

Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

C. Pension schemes

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) application Form	Copy	Original	Original
(ASL) authorized Signatures List (dated, certified by 2 auth. Persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC
Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles, trust deed or equivalent	n/a	Copy	CTC – Original
Evidence of regulation (ex : EIOPA, if applicable)	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Latest Pension Scheme Rules or Wolfsberg questionnaire	Copy	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

Note that some additional documents might be required regarding the employer/settlor or the pension fund, depending on the risk.

D. Collective Investment Schemes (CIS)

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) application Form	Copy	Original	Original
(ASL) authorized Signatures List (dated, certified by 2 auth. Persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, AML letter or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% info	>25% copy	> 10% CTC
Source of wealth / Source of Funds (in AF or DDQ)	info	info	Evid – Orig
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register or certificate of Inc.	Copy	Copy	CTC – Original
Latest Constitutional Document (e.g. Prospectus)	Copy	Copy	CTC – Original
Evidence of regulation (if applicable)	Copy	Copy	Copy
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Wolfsberg Questionnaire (from the regulated CIS or from the regulated entity performing AML)	Copy	Copy	Copy
AML Letter (from the regulated CIS or from the regulated entity performing AML)	n/a	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original

E. Listed company on a regulated market

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	info	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original
Evidence of listing	Copy	Copy	Copy
Assessment on the floating rate	n/a	Copy	Copy

F. Commercial Companies, Limited Liability Companies, branches/subsidiary of a listed company

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) Application Form	Original	Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)	Copy	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	info	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	info	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	info	Copy	CTC – Original
Share register/Evidence of ownership	n/a	n/a	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	n/a	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	Copy	CTC – Original
Latest statutes, articles or equivalents	n/a	Copy	CTC – Original
List of directors (in DDQ or separated document)	info	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	Copy	CTC – Original
Financial report	n/a	n/a	CTC – Original
Branches/subsidiaries of a listed company			
Evidence of Ownership by Parent	Copy	Copy	CTC – Original
Evidence of listing (Parent)	Copy	Copy	Copy
Assessment on the floating rate (Parent)	Copy	Copy	Copy

G. Partnerships

Documents to provide to NTGS SE	SDD	STDD	EDD
(AF) Application Form		Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)		CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories		Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories		Copy	CTC – Original

(DDQ) Due Diligence Questionnaire	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Extract from Commercial Register, certificate of Inc.	Copy	CTC – Original
Latest constitutional document (e.g. Limited Partnership Agreement)	Copy	CTC – Original
List of directors (in DDQ or separated document)	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original
Financial report	n/a	CTC – Original

Please note that we might require additional KYC requirements for the General Partner (GP), and all other Partners, depending on the structure.

H. Foundations, charities, churches, clubs, societies, associations, parties, schools, colleges, universities, trade unions.

Documents to provide to NTGS SE	STDD	EDD
(AF) Application Form	Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deals signatories	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Original
Beneficial owner identification (ownership structure, or DDQ, with % of shareholdings/control)	Copy	CTC – Original
Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% Orig.
Source of Wealth / Source of Funds	Info	Evid – CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Extract from Commercial Register, certificate of Inc., or equivalent	Copy	CTC – Original
Latest constitutional document (e.g. Foundation deed, trust deed, rules, charter)	Copy	CTC – Original
List of directors/Trustees (in DDQ or separated document)	Copy	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original
Financial report	n/a	CTC – Original

Foundations only

Valid ID (+ proof of address if EDD) for founder(s) (if applicable)	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Protectors(s) (if applicable)	Copy	Copy

Charities only

Evidence of regulation (if applicable)	Copy	Copy
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Please note that we might require additional KYC requirements for the Founder (s) and/or Protectors, depending on the structure.

I. Trusts (patrimonial, other)

Documents to provide to NTGS SE	STDD	EDD
(AF) Application Form	Original	Original
(ASL) Authorized Signatures List (dated, certified by 2 auth. persons)	CTC – Original	CTC – Original
Valid ID (+ proof of address if EDD) for the AF signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for the Deal signatories	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Settlor & Trustee	Copy	CTC – Original
Valid ID (+ proof of address if EDD) for Protector	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire (in the name of the Trust)	Copy	Original
Valid ID of Beneficial Owner (+ proof of address if EDD)	>25% Copy	>10% - CTC

Ultimate Beneficial Owner register (if available)	Copy	CTC – Original
Source of Wealth / Source of Funds	Info	Evid –CTC Orig.
(CRS / FATCA) Tax Self Certification Form	Copy	Copy
Evidence of regulation (if applicable)	Copy	Copy
Trust deed / Constitution document	Copy	CTC – Original
Extract from register of Trust / Trustees (if available)	Copy	CTC – Original
Financial Report (if applicable)	n/a	CTC – Original
Settlement Instructions (SSI's) (IN/OUT)	Copy	CTC – Original

J. Retail Investor – Natural Person

SOLE ACCOUNT HOLDER

Documents to provide to NTGS SE	STDD	EDD
(AF) application Form	Original	Original
Valid ID of the Applicant	Copy	CTC – Original
Proof of address of the Applicant	Copy	CTC – Original
(DDQ) Due Diligence Questionnaire	Copy	Original
Valid ID of Beneficial Owner	Copy	CTC
Source of Wealth / Source of Funds	Info	Evid – Orig.
(CRS / FATCA) tax Self Certification Form for Beneficial owner	Copy	Copy
(SSI's) Settlement Instructions (IN/OUT)	CTC – Original	CTC – Original
Bank Statement matching SSIs	Copy	CTC – Original

JOINT ACCOUNT HOLDER

Please note that in the case of a joint account, we must receive all documents mentioned above, for each party.

SOLE ACCOUNT HOLDER with payment of redemption/cash distribution proceeds to a joint bank account

For each person named as a bank account holder,

Documents to provide to NTGS SE	STDD	EDD
Valid ID	Copy	CTC – Original
Proof of address	Copy	CTC – Original
GDPR consent form	Copy	CTC – Original

Guidelines, explanations and frequently asked questions

List of Authorized Signatures, power/regime and specimen of signature

Please provide a complete list of authorized signatures which will include the exhaustive list of persons who may sign for the entity, the global regime of signature of the entity or, by default, the specific power of signature of each individual included in the list and a specimen of their signature.

Ideally the document will be an official booklet edited by the company or an original or a CTC document. In case of a simple copy, this document must be dated, stamped with the official stamp of the company and certified by two authorized persons of the company who can be readily identified by the administrator (e.g. persons mentioned in company statutes or present in an old version of the company signatures list). Those two persons cannot be the signatories of the AF and / or any deal.

Certification rules – Original Documents

1. Certification by an independent professional

Unless otherwise in some specific cases and confirmed on a case by case basis, the administrator will always require original documents or certified true copies of documents, provided that they have been certified by an independent professional person such as the following: Sworn Lawyer / Solicitor (a firm will not be accepted) / Public Notary / Embassy, Consulate, Public Administration / Commissioner of oaths / Professional of the Financial Sector (PFS) regulated in a low risk country / Chartered Accountant

2. Self-certification

For internal documents of the entity (e.g. Financial reports), the administrator may accept self-certification performed by a duly authorized person for whom the administrator can identify the signature. Self-certification will be accepted only in case of a Simplified Due Diligence (SDD) or a Standard Due Diligence (STDD), not for an Enhanced Due Diligence (EDD).

3. Required information

For the certified documentation to be accepted, the following must all be clearly stated by the certifier:

- Full Name and Signature in wet ink of the individual certifying the document
- Name (and address if possible) or company stamp of the organization for which the individual works, including his position
- Date the certification was performed.
- The statement that "I certify that this is a complete and accurate copy of the original"

Settlement Instructions (SSI's) - Bank Statement

The entity will provide the administrator with a full list of bank accounts to which cash proceeds will or are likely to be paid during the period of the investment. This list will ideally be an official booklet of SSI's or on entity's letterhead or else clearly stated on the Application Form. For an entity, a formatted list duly signed by authorized persons of the entity will be accepted, as long as it includes the information stated below, but for a retail investor, a bank statement will be required. Beneficiary (Complete Name, Beneficiary account number / IBAN) - Beneficiary BANK (Complete name and address, Account of the Beneficiary bank with its correspondent when applicable, SWIFT/ABA (US) /SORT (GB) code - Correspondent of the Beneficiary Bank (Complete name and address, SWIFT code (and/or Sort code / ABA code when applicable)

Identification documents (ID card – Passport) and verification

When verifying the investor's identity, the administrator may require passports or national ID. These documents must be current (i.e. unexpired) and valid on the date of the initial investment made by the investor.

Proof of address (documents accepted)

When indicated in the requirements, the administrator will need to verify the residence of the investor (or any related party) on the basis of documents or information obtained from a reliable and independent source. Documentation or information will be accepted by the administrator where the administrator has reasonable grounds to believe that such documents or information can be relied upon to confirm the residence of the investor.

P.O. Boxes are not considered as a physical residence. Utility bills and phone bills are example

APPENDIX 2 - GLOSSARY

Note: These are selected definitions provided to assist you with the completion of the Tax Self-Certification form. Further details can be found in the Directive 2014/107/EU of 9 December 2014 “as regards to mandatory automatic exchange of information” and in the OECD Standard for Automatic Exchange of Financial Account Information (“OECD Common Reporting Standard, CRS”)

“Account Holder”

The “Account Holder” is the person listed or identified as the holder of the Debt or Equity Interest. This is regardless of whether such person is a flow-through Entity.

A person, other than a Financial Institution, holding a Debt or Equity Interest for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

“Financial Institution”

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

“Resident for tax purposes”

Generally, a Person will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction.

“TIN” (including “functional equivalent”)

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, the social security number.

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