Vontobel

Application Form

Vontobel Fund & Vontobel Fund II

The undersigned ("Applicant") herewith applies to open a register account for the subscription of Shares in VONTOBEL FUND and VONTOBEL FUND II (the "Funds"), Collective Investment Funds organized under the laws of the Grand Duchy of Luxembourg.

Please carefully complete this application form in BLOCK CAPITALS, date it, sign it, and send it by email, together with all relevant documentation, to the Registrar and Transfer Agent of the Funds (the "RTA").

RTA Contact details:

State Street Bank International GmbH, Luxembourg Branch
c/o International Financial Data Services (Luxembourg) S.A.
17, Boulevard de Kockelscheuer
L-1821 Luxembourg

Investor Services: VONTOBEL@statestreet.com
Registration: VONTOBELTARegLux@statestreet.com
Phone queries: +352 46 40 10 449
Fax (dealing): +352 24 52 95 42

1. REGISTRATION DETAILS

If you are an existing investor please provide us with your Account Number (if known):

Full Company Name:	
Date of Incorporation:	
Country of Incorporation:	

Entity type:

☐ Bank ☐ Insurance Company ☐ Government Entity ☐ Foundation

☐ Other Financial Institution ☐ Pension Fund ☐ Non-Profit Organization ☐ Corporation

☐ Nominee ☐ Investment Fund ☐ Express Trust ☐ Partnership

☐ Other (please specify):

Stock exchange listing: ☐ Yes ☐ No Listing Number/ticker:	Regulated entity: ☐ Yes ☐ No Regulator name: License number:
Tax identification number (if applicable)	
Country of residence for tax purposes (if applicable)	
Registered Address (PO Box and c/o not allowed)	
Telephone	
Fax	
Email	
Internet website	
Mailing Address	

Contact person for daily business:	
Title	
Name	
Telephone number	
Fax number	
Email Address	

2. TYPE OF INVESTMENT

I/we confirm that the investment into the Fund(s) is/are made:

☐ **On my/our own behalf (please tick the box if applicable)**

The origin of the funds used for subscription is the following (please tick the relevant box):

- ☐ Redemption from other investments
- ☐ Treasury (Corporate)
- ☐ Pension contributions
- ☐ Unit-linked/Investment-related Life Insurance product(s)
- ☐ Premiums paid by Life Insurance policyholders
- ☐ Premiums paid by non-Life Insurance policyholders
- ☐ Fund of funds investors' money
- ☐ Other (please describe) : ……

I/We declare that I/we am/are an institutional investor subscribing the shares for my/our own account and am/are beneficially entitled to the shares.

OR

☐ **On behalf of third party(ies), via:**

☐ A **Pooled/Omnibus Account** (reflecting a pool of underlying clients, typically with a generic designation such as "Clients account" or with a reference to a region, product or multiple specific customers)

☐ A **Segregated Account**. In this case, please select either one option below:

☐ the designation will refer to the **underlying client name.** Please specify the account designation below.

☐ the designation is **coded** (it contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client). Please specify the account designation as well as the name and country of the underlying investor below.

Account designation:……
Name/country of the underlying investor: ……

The origin of the funds used for subscription is the following (please tick the relevant box):

- ☐ Retail customers
- ☐ Private banking/wealth management customers/High Net Worth Individuals
- ☐ Institutional customers
- ☐ Other (please describe) : ……

Main country of origin of the invested funds: ……

I/We declare that I/We am/are subscribing the shares for and on behalf of persons (third parties or investors) who are beneficially entitled to the shares. Such person or institutions are not subject to Financial Sanctions regimes imposed by United Nations, the United Kingdom, the European Union and the US office of Foreign Asset Control (OFAC), or the relevant regulatory authorities in the territory in which they are located. I/ we have verified the identity of the persons, including the ultimate beneficiary and any ultimate economic beneficiaries of the investment, as well as the origin and source of money/wealth invested in the fund on whose behalf I/we are making the investment. I/We have retained the documentary evidence of this verification procedure and I/We shall make this documentation available to the Administrator upon request. I/we also declare that I/we will provide the KID/KIID for the respective share classes to third parties or investors in good time before any subscription in the Funds.

Intermediary (acting in its own name) MIFID Categorisation

Please indicate the MIFID category under which you deal with the underlying investor(s) for this account. Please note that if you fail to indicate the category, the underlying investor(s) will automatically be classified as Retail Client.

☐ Retail Client ☐ Professional Client ☐ Eligible Counterparty

3. Expected Volumes & Frequency

Please confirm the following in terms of investments foreseen into the Fund(s) (This doesn't constitute any kind of commitment from the Investor or its beneficial owners)

Expected frequency of trading:							
☐ Single transaction	☐ Daily	☐ Weekly	☐ Monthly	☐ Quarterly	☐ Semi-annual	☐ Annual	☐ Ad-hoc

Expected Investment amount:				
☐ Financial Institutions, Insurance Companies, Pension Funds, Investment Funds, Listed Companies	By transaction:	☐ Less than EUR 10 millions (or equivalent)	☐ between EUR 10 millions and 50 millions (or equivalent)	☐ over EUR 50 millions (or equivalent)
	Expected Total Investment:	Expected amount to be invested during the first year:		
☐ Other types of investors	By transaction:	☐ Less than EUR 1 millions (or equivalent)	☐ between EUR 1 millions and 10 millions (or equivalent)	☐ over EUR 10 millions (or equivalent)
	Expected Total Investment:	Expected amount to be invested during the first year:		

4. Ultimate Economic Beneficiary Declaration

In accordance with the requirements of the Luxembourg Anti-Money Laundering laws and regulations, including but not limited to the Luxembourg Law of 12th November 2004 (as amended), Funds Investors must declare the identity of their ultimate beneficial owner(s) ("UBO") and commit to communicate any subsequent changes without delay- see definition at the end of this section.

Please tick the relevant box and add lines to the tables as needed.

☐ A/several natural person(s) is(are) the beneficial owner(s) of the company/entity as they directly or indirectly hold(s) or control(s) more than 25% of the shares or voting rights, OR

☐ A/several natural person(s) is(are) the beneficial owner(s) of the company/entity as they control the company by means other than a sufficient percentage of shares or voting rights); OR

☐ The natural person(s) listed below is(are) the senior managing official(s) of the company.

Please complete the below table with the details of this(these) natural person(s):

Last & First Name	Date & Place of birth	Nationality(ies)	Tax Residence(s) & ID number(s)	Residential address	Ownership percentage

Please enclose a certified true copy of the ID of the above-referenced individual(s).

"Beneficial owner" shall, in accordance with this law, mean any natural person(s) who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted. The concept of beneficial owner shall include at least:

(a) in the case of corporate entities:

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

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

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), any natural person who holds the position of senior *dirigeant* (manager);

"Control through other means may be determined in accordance with Articles 1711-1 to 1711-3 of the Law of 10 August 1915 on commercial companies, as amended, as well as in accordance with the following criteria:

(aa) the direct or indirect right to exercise a dominant influence over a customer, on the basis of a contract entered into with that customer or of a clause of the articles of association of that customer, where the law governing that customer allows being subject to such contracts or such statutory clauses;
(bb) the fact that a majority of the members of the administrative, management or supervisory bodies of the customer, in office during the financial year as well as the preceding financial year and until the preparation of the consolidated financial statements, were appointed through direct or indirect exercise of the voting rights of one natural person;
(cc) the direct or indirect power to exercise or the actual direct or indirect exercise of a dominant influence or control over the customer, including the fact that the customer is placed under a single management with another undertaking;
(dd) an obligation, under the national law to which the parent undertaking of the customer is subject, to prepare consolidated financial statements and a consolidated management report;"

(b) in the case of *fiducies* and trusts:

(i) the settlor;
(ii) any *fiduciaire* or trustee;
(iii) the protector, if any;
(iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates;
(v) any other natural person exercising ultimate control over the *fiducie* or trust by means of direct or indirect ownership or by other means;

(c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, any natural person holding equivalent or similar positions to those referred to in point (b)

5. Dividends

Any dividend interest arising will be paid directly to your bank account. Please ensure you have completed your bank details in section 7.

Please be aware that accumulating share classes do not distribute dividend payments.

If you wish to receive dividend payments to a different bank account, please indicate your complete dividend banking details below:

Bank Name	
Bank Address	
Country or emitting Bank/Party	
BIC / SWIFT	
Account Name	
Account Number/IBAN	
Wire Type	☐ **MT103** ☐ **MT202**

6. SUBSCRIPTION PAYMENT **(Please indicate where the money will be wired from)**

Bank Name	
Bank Address	
Country or emitting Bank/Party	
BIC / SWIFT	
Account Name	
Account Number/IBAN	
Wire Type	☐ **MT103** ☐ **MT202**

The subscription payment MUST come from a Bank account in the name of the registered investor.

7. REDEMPTION PAYMENT **(Please indicate where you wish to receive the proceeds of your redemption)**

All payments will be made in the name of the registered investor (no third-party payment). Any omission to complete these details for redemption request could result in late or non-payment of redemption proceeds.

Bank Name	
Bank Address	
Country or emitting Bank/Party	
BIC / SWIFT	
Account Name	
Account Number/IBAN	
Wire Type	☐ **MT103** ☐ **MT202**

Changes to initially provided bank details can only be instructed to the RTA Registration Team by the relevant authorized signatory(ies) via Fax/Original.

8. ORDER SUBMISSION METHOD

Please indicate the method by which you intend to submit your transaction orders:

☐ Fax (manually)

☐ SWIFT (electronically). If orders will be placed using SWIFT (or an intermediary that connects to State Street via SWIFT), please provide the SWIFT identifier from which orders will be sent for the relevant account:

Business Identifier Code (BIC):……..
Distinguished Name (DN) for ISO 20022 messages:……
……

9. REPORTING **(Please select the periodicity and format for your reporting)**

Statement periodicity:			
☐ Monthly	☐ Quarterly	☐ Half Yearly	☐ Yearly

Communication channel:	
☐ Post	☐ Fax
☐ E-mail Statements. Please provide your e-mail address:	☐ E-mail Contract Notes. Please provide your e-mail address:
☐ SWIFT MT535. Please provide your BIC code: Frequency: ☐ Daily ☐ Monthly	☐ SWIFT 536. Please provide your BIC code: Frequency: ☐ Daily ☐ Monthly

Bank Name	
Bank Address	
Country or emitting Bank/Party	
BIC / SWIFT	
Account Name	
Account Number/IBAN	
Wire Type	☐ **MT103** ☐ **MT202**

10. PROTECTION AGAINST MONEY LAUNDERING/TERRORISM FINANCING

In accordance with applicable Luxembourg legal framework on anti-money laundering ("AML), counter terrorism financing ("CTF") and target financial sanctions ("TFS"), the Registrar and Transfer Agent may inquire for more details concerning the financial institutions from which the transfer payments are to be made.
When required from the Registrar and Transfer Agent and/or the Fund, client identification documents and any information relevant to certain tax, (including but not limited to, FATCA/CRS), UBO identification shall be promptly made available.

If you are not able to provide the required details or other necessary documents, the central administration of the Fund reserves the right to refuse the subscription and/or to block the accounts.

The Registrar and Transfer Agent and/or the Fund reserve the right to reject any incomplete Form, provided without signature or necessary information of identification.

The Registrar and Transfer Agent and/or the Fund reserve the rights to terminate the business with the investor in the best interest of the fund and deposit the investor's assets with the "Caisse de Consignation" (public trustee office) without prior notice and with immediate effect.

We will take measures to ensure that the Investors are neither individuals nor institutions against whom sanctions have been imposed by the UK, OFAC, EU or United Nations or persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by each of these sanctions regimes. Should the Investors appear on such list and/or be subject to embargo we will immediately inform the Management Company and/or the Registrar and Transfer Agent and take the necessary measures in relation thereto.

I/ We confirm that all assets are not criminal origin and are not linked to activities which infringe any applicable laws or regulations and in particular, but without limitation law on anti-money laundering, counter financing of terrorism and target financial sanctions.

I/We agree that the Registrar and Transfer Agent and/or the Fund and its service providers in its absolute discretion, reserves the right not to open, operate or maintain any account for me/us and in particular, but without limitation, if I/We fail to provide any documents or information which may be required from time to time.

I/We confirm that I/We shall immediately inform the Central Administration of any change in relation to his legal capacity, permanent address, tax status or personal situation. The Central Administration shall not be liable for any prejudice by or in connection with the legal incapacity of the investor, his agents, natural heirs, legatees and/or other entitled person.

11. DECLARATION

The Undersigned declare(s) that:

- Any further application for shares shall be made or be deemed to be made in accordance with the currently relevant documentation.
- The money or assets invested are neither directly nor indirectly the proceeds of any criminal act within the meaning of applicable Luxembourg law.
- Agree(s) to provide the necessary supporting identification documentation as per requested by Luxembourg laws.
- The information contained in this application form is correct at the time of completion and I/we hereby undertake to promptly inform the Central Administration of any change in my/our details contained herein.
- Where a Power of Attorney Form is required, a certified copy must be provided, and such Power of Attorney Form shall form an integral part of these Terms and Conditions.

The Undersigned further declare(s) that he/she/they is/are aware that:

- Subscriptions received by the Funds on the transaction date no later than the cut-off time stated in the prospectus shall be treated at the issue price calculated for that same day.or the following day as stated in the prospectus.
- This contract will be legally binding when it is signed and the sums paid to the Fund are received.
- Correspondence will be sent to our correspondence address noted above unless otherwise notified by us in writing from time to time.
- The Central Administration will need to be provided with the necessary "Know Your Customer" documentation prior to the account opening.

The Undersigned declare(s) that he/she/they:

- is/are NOT a United States Person {hereinafter a U.S. Person} (as such expression is defined in the Prospectus) and that this application is not made for, or on behalf of a U.S. Person or a person who is deemed to be a U.S. Person under the U.S. Investment Company Act of 1940, as amended.
- will notify the Fund and the Administrator, and the Transfer Agent immediately in the event that he/she/they are/become(s) a U.S. Person or a person who is deemed to be a U.S. Person under the U.S. Investment Company Act of 1940, as amended.

12. INDEMNITY CLAUSE

All investors will hold harmless and indemnify the Fund, Management Company, Custodian, Sub-Distributors and Transfer Agent of the Fund in relation to any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred either directly or indirectly out of or in connection with the operation of the investor unless due to fraud, the willful misconduct or gross negligence of the Transfer Agent. The indemnity is governed by and shall be interpreted in accordance with Luxembourg law. The courts of the Grand-Duchy of Luxembourg will have exclusive jurisdiction of all disputes arising from this indemnity.

13. TAX OBLIGATIONS

Tax reporting obligations: CRS & FATCA

We, the Fund, are obliged under local laws and regulations to collect and report to the Luxembourg tax authorities and the relevant foreign tax authorities certain information about financial accounts held by some of our Account Holder. Without this information no account may be opened.

Please complete Appendix I – Entity Self-Certification Form for FATCA and CRS, attached.

If you are completing the Self-Certification Form on behalf of the Account Holder's, then you should indicate the capacity in which you have signed in Section 4. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the Self-Certification Form under a signatory authority or power of attorney.

We are also obliged to collect and report to the Luxembourg tax authorities and the relevant foreign tax authorities certain information about financial accounts held by some of the Controlling Persons of Account Holders that are Passive Non-Financial Entities (NFEs). For all Controlling Persons, please complete Appendix II – Controlling Person Self-Certification Form for FATCA and CRS, attached.

If you are completing the Self-Certification Form on the Controlling Person's behalf, then you should indicate the capacity in which you have signed in Section 5. For example, you may be the custodian or nominee of an account on behalf of the Controlling Person, or you may be completing the form under a signatory authority or power of attorney.

Tax compliance obligation

It is the Investor responsibility to undertake to comply with their tax obligations (declaration and payment of taxes) towards the authorities of the country/countries in which the Investor is required to pay taxes in respect of the assets deposited with the Bank or managed by the latter. This condition also applies, where applicable, to the ultimate beneficiary, whom the Investor undertakes to inform. The Investor should be aware that holding certain assets may have tax implications irrespective of their tax residence. Any failure by the Investor to comply with their tax obligations may render them liable, depending on the applicable laws of the country or countries in which the Investor is required to declare/pay taxes, to financial penalties and criminal penalties.

Furthermore, the Investor should be aware that pursuant to international agreements, the name of the contracting party and that of the ultimate beneficiary may be transmitted, on request and provided that the conditions of the said international agreements are satisfied, to the competent foreign authorities, including the tax authorities.

☐ By ticking the box, I/We declare that the Investor is compliant with his/her Tax compliance obligation as described above.

14. PROCESSING, DISCLOSING, SHARING AND TRANSFER OF PERSONAL DATA

PRIVACY NOTICE

This Privacy Notice contains the information which we are required to provide you on how the Fund, its service providers and delegates will collect, process and store and personal data that you provide to us in connection with your application and any resulting investment in the Fund. This privacy notice explains how that personal data is used and your rights in accordance with Luxembourg Data Protection Law and the General Data Protection Regulation 2016/679 ("**GDPR**").

For the purposes of this privacy notice, the Fund's service providers include as applicable any administrator, depository, custodian and manager of the Fund, any local paying agents and, in each case, their affiliates, delegates and third-party outsourced service providers (together the "Service Providers").

Whose Personal Data Is Processed?

The Fund and its Service Providers may collect and use your personal data or, if you are not an individual, that of your directors, officers, employees, intermediaries and/or beneficial owners. Unless explicitly stated otherwise, references in this privacy notice to "you" or "your" in the context of processing personal data include, where applicable, the personal data of your directors, employees, intermediaries and/or beneficial owners as the context requires.

If you are providing other peoples' personal data to the Fund or its Service Providers, you need to provide these individuals with the information required under Data Protection Law on their data protection rights and you should seek their authorisation to provide us with their personal data as appropriate.

How Your Personal Data Is Used

The Fund and its Service Providers collect and use your personal data to enable them to manage their relationship with you effectively, lawfully and appropriately and to comply with applicable laws and regulations. This includes processing, sharing and storing your personal data to:

- perform services in connection with (i) your application for shares in the Fund and (ii) any ongoing investment you make into the Fund. These activities include account opening and managing and administering your holdings in the Fund and any related accounts. They also may include making disclosures to third parties such as auditors, regulators and tax authorities, including U.S. or other regulatory or public bodies located both in and outside the European Union, specialist service providers such as the Society for Worldwide Interbank Financial Telecommunication (SWIFT), outsourced service providers and their delegates and technology providers as appropriate in order to manage and administer your holdings in the Fund and any related accounts;
- comply with any legal, regulatory or tax requirements applicable to the Fund or its Service Providers;
- pursue the legitimate business interests of the Fund or its Service Providers. This may include recording, maintaining and using recordings of telephone calls and electronic communications that you make and receive from the Fund and its Service Providers for matters relating to your investment in the Fund, dispute resolution, record keeping, security and/or training purposes. This may also include disclosing your personal data to third parties, for example technology providers and other vendors; and
- protect the Fund and its Service Providers' legal position in the event of any legal proceedings.

You may refuse to provide us with some or all of the personal data, in this event however we may reject your request for subscription for shares in the Funds. Your consent is not required to process your personal data for the purposes referenced above.

Profiling and Screening

The Fund and its Service Providers may conduct activities required to comply with anti-money laundering requirements (such as "know your customer" checks and PEP, negative news, financial sanctions and other financial crime related screening programmes for the purposes of complying with applicable regulatory and legal requirements, including applicable sanctions regimes. The implementation of these activities and programmes may result in the Fund or its Service Providers refusing an application for shares in the Fund or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your shares appear on such screening programmes or if the documentation provided does not satisfy applicable anti-money laundering requirements. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Fund or its Service Providers. Such processing, which may reveal your political opinions or any trade union memberships, is considered lawful on the grounds of substantial public interest permitted under GDPR.

Types of personal data used

The types of personal data collected by the Fund and its Service Providers include and is not limited to: name, gender, date of birth, civil status, nationality, contact details (including postal or email address), banking and financial details, passport or other identification document, invested amount and holdings in the Fund, , telephone recordings. The Fund and its Service Providers may also collect special categories of personal data in order to perform the activities and to conduct the screening programmes specified in the prior paragraph. Such special categories of personal data may include your political opinions, any trade union memberships or publicly available information. The Fund and its Service Providers shall only process any such special categories of personal data as permitted under applicable laws and regulations.

Transfers Abroad

Personal data collected from you or provided by you or on your behalf may be transferred outside of the jurisdiction of the Fund and its Service Providers, including to countries located outside the European Economic Area ("EEA") which may not have the same data protection laws as the jurisdiction in which the Fund and/or its Service Providers are located. These countries include (but are not limited to) the United States of America, UK, India, Hong Kong, Thailand, Canada, Australia and Japan.

If the Fund or its Service Providers transfers personal data outside the EEA, we will take the necessary steps to ensure that appropriate safeguards required by GDPR and other applicable laws and regulations, are put in place to protect the privacy and integrity of such personal data, such as the implementation of EU model contract clauses.

Data Retention Period

The Fund and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Fund for such period of time as may be required to provide services to you and as required by applicable legal and regulatory requirements. Specifically, we will retain your relevant personal data for a period of 10 years after the end of our relationship, unless a longer retention period is required by law or your personal data is still required for us or for one of our affiliated companies in the context of establishing, exercising or defending a legal claim.

You have the following rights in respect of your personal data:

- to be informed about the personal data the Fund and its Service Providers hold about you;
- to access the personal data the Fund and its Service Providers hold about you;
- to have your personal data rectified where it is inaccurate or incomplete;
- to have your personal data erased in certain circumstances (e.g. where the personal data is no longer required for the purposes for which we have collected it or to comply with applicable legal and regulatory requirements or in circumstances where you object to processing and the Fund or its Service Provider (as applicable) has no overriding legitimate grounds for such processing);
- to obtain restriction of processing in certain circumstances (e.g. where you have contested the accuracy of the personal data, for the period required for us to verify the accuracy of that personal data);
- to object to the processing in certain circumstances (e.g. to automated processing or profiling);
- to data portability (i.e. to receive your personal data in a structured, commonly used and machine readable format and to have that personal data transmitted directly to another controller);
- to lodge a complaint to the Data Protection Officer to dpo.vontobelgroup@vontobel.com or with the Commission Nationale pour la protection des données (CNPD), the Data Protection Authority at 15, Boulevard du Jazz, L-4370 Belvaux, Luxembourg, if you consider that the processing of your personal data infringes GDPR or other applicable Data Protection Law;
- The right to judicial remedy or, where relevant, compensation against the relevant data controller or processor in case of infringement of your rights as a result of processing of your personal data in non-compliance with GDPR;

If you wish to exercise any of the above rights against the Fund or its Service Providers, please contact us using the details provided below (see the section headed “Contact Us”).

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

Failure to provide personal data

As set out above, we require you to provide certain personal data in order for us to process your application, to manage and administer your holdings in the Fund and to comply with the Fund and Service Provider’s legal and regulatory requirements. If you fail to provide such personal data, in certain circumstances we may be prohibited from making redemption or any applicable dividend payments to you and/or may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Fund.

15. CONSENT TO TRANSFER AND DELEGATION OF DATA

The Fund and its Service Providers are bound by either professional secrecy requirements and/or a common law or contractual duty of confidentiality and may not disclose data that you or, if you are not an individual, your directors, officers, employees, intermediaries and/or beneficial owners provide to the Fund and/or its Service Providers unless:

- such disclosure is permitted by applicable law or regulation; or
- you have consented (either on your own behalf or on behalf of the relevant entity) to any such disclosure.

Please sign below to evidence your consent to the following:

In consideration of my/our application for investment into the Fund, I/we consent to the Fund and its Service Providers (as applicable):

1. processing, sharing and storing data for the purposes of:

- processing my application for shares in the Fund;
- administering any ongoing investment in the Fund, including account opening and managing and administering holdings in the Fund and any related accounts and making disclosures to third parties such as auditors, regulatory, data protection and tax authorities, outsourcing Service Providers and their delegates and technology providers as appropriate in order to manage and administer any such holdings in the Fund and any related accounts;
- fighting financial crime and terrorism, including complying with applicable anti-money laundering, PEP, negative news and sanctions screening programmes;
- complying with any Foreign Account Tax and Compliance Act (FATCA) requirements (including any requirements arising from local implementation of FATCA;
- Common Reporting Standard (CRS) purposes (including any local implementation); and
- enabling the Fund and its Service Providers to comply with other legal and regulatory requirements applicable to them;

2. transferring data to and delegating and outsourcing certain tasks, activities or services (including those listed above) to third party service providers, both regulated and unregulated and located in jurisdictions within and outside the European Economic Area (“EEA”) which may not have the same data protection laws as the jurisdiction in which the Fund and/or its Service Providers are located;

3. providing data included in money transfers to specialist service providers such as the Society for Worldwide Interbank Financial Telecommunication (SWIFT), located both in and outside the European Union. I/we acknowledge that this may result in U.S. or other regulatory or public authorities requesting access to data held by such service providers for the purpose of assessing compliance with applicable laws and regulations;

4. telephone conversations being recorded for the primary purpose of providing evidence in the event of a dispute. Any such recordings shall be retained in compliance with applicable laws and regulations.

Signature: ……..

Name of signatory: ……

If signing on behalf of an entity, capacity of signatory: ……

16. USE OF FAX

The Transfer Agent and its service providers are authorized to accept and execute any future instructions received by fax. In this context, I /We accept full responsibility of any all risks, e.g. those arising from an error in communication or comprehension as well as those arising from fraud, considering that it may prove difficult or impossible to detect forgery, or intentional breach of the security measures, and I/We relieve the Transfer Agent and its services providers from any and all responsibilities in this respect.

I/We hereby agree to receive electronic documents (e.g. contract note) from the Transfer Agent and its service providers to the same extent and with the same legal validity as paper based. I/We accept full responsibility for opening, reading and checking electronic mail just as carefully as if I/We had received the mail in paper format.

Appendix I – Entity Self-Certification Form for FATCA and CRS

Instructions for completion

We, the Fund, are obliged under local laws and regulations to collect and report to the Luxembourg tax authorities and the relevant foreign tax authorities certain information about financial accounts held by some of our Account Holders.

For joint or multiple Account Holders, please complete a separate Self-Certification Form for each Account Holder.

If you are completing the Self-Certification Form on behalf of the Account Holder's, then you should indicate the capacity in which you have signed in Section VI. For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the Self-Certification Form under a signatory authority or power of attorney.

If you have any questions about this Self-Certification Form or defining your FATCA or CRS status, please speak to your tax adviser or local tax authority.

For further information on CRS please refer to the OECD automatic exchange of information portal: http://www.oecd.org/tax/automatic-exchange/

*(Mandatory fields are marked with an *)*

Account Holders that are individuals should not complete this Self-Certification Form but should complete the Self- Certification Form entitled "Individual Self-Certification Form for FATCA and CRS".

Section 1: **Account Holder Identification (please refer to the glossary)**

Name*: (the "Entity")	
Country of Incorporation or Organisation:	

Registered Address*:

Address:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	

Mailing address (if different from above):

Address:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	

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

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

a)	The Entity **is** a *Specified U.S. Person* and the Entity's U.S. Federal Taxpayer Identifying Number (U.S. TIN) is as follows: **U.S. TIN**: _____	☐
b)	The Entity is **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5)	☐

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

3.1 Financial Institutions under FATCA:

If the Entity is a *Financial Institution*, please tick one of the below categories *and provide the Entity's GIIN at 3.1.2*

I.	*Luxembourg Financial Institution* or a *Partner Jurisdiction Financial Institution*	☐
II.	*Registered Deemed Compliant Foreign Financial Institution*	☐
III.	*Participating Foreign Financial Institution* *Participating Foreign Financial Institution – Other* *Participating Foreign Financial Institution - Reporting Model 2 Foreign Financial Institution*	☐

3.1.2 Please provide the Entity's *Global Intermediary Identification Number (GIIN):* _____

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

I.	*Partner Jurisdiction Financial Institution* and has not yet obtained a *GIIN*	☐
II.	*The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN* Please provide the sponsor's name and sponsor's *GIIN :* **Sponsor's Name:** _____ **Sponsor's *GIIN:*** _____	☐
III.	*Exempt Beneficial Owner*	☐
IV.	*Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution* under Annex I of the Agreement*)*	☐
V.	*Non-Participating Foreign Financial Institution*	☐
VI.	*Excepted Foreign Financial Institution*	☐
VII.	*U.S. Person* but not a *Specified U.S. Person*	☐

3.2 Non-Financial Institutions under FATCA:

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

a.	*Active Non-Financial Foreign Entity*	☐
b.	*Passive Non-Financial Foreign Entity* *(If this box is ticked, please include Controlling Person Self-Certification forms for each of your Controlling Persons that is a Specified U.S. Person)*	☐
c.	*Excepted Non-Financial Foreign Entity*	☐
d.	The Entity is a *U.S. Person* but not a *Specified U.S. Person*	☐

3.3 Additional FATCA classification not listed above

Please select one of the classifications provided below by ticking one of the category

a.	*Non Reporting IGA Foreign Financial Institution*	☐
b.	*Entity Wholly Owned By Exempt Beneficial Owners*	☐
c.	Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI	☐
d.	Publicly traded Non Foreign Financial Entity or Non Foreign Financial Entity affiliate of a publicly traded corporation	☐
e.	501(c) organization: I/we certify that the entity identified is a 501(c) organization that: • Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated -_____; or • Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).	☐

Section 4: CRS Declaration of Tax Residency* (please refer to the glossary)

Please indicate the Entity's place of Tax Residence for CRS purposes, (if resident in more than one country please detail all countries of Tax Residence and associated Tax Identification Numbers).

Country of Tax Residency	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 applicable, please specify the reason for non-availability of a Tax ID Number:

Section 5: Entity's CRS Classification*

(the information provided in this section is for CRS, please note your CRS classification may differ from your FATCA classification in Section 3) (please refer to the glossary):

a.	*Custodial Institution, Depository Institution, Specified Insurance Company or Investment Entity other than an Investment Entity under A(6)(b) of Section VIII of the CRS resident in a Non- Participating Jurisdiction*	☐
b.	An *Investment Entity under A(6)(b) of Section VIII of the CRS* resident in a *Non-Participating Jurisdiction* (If this box is ticked, please include Controlling Person Self-Certification Forms for each of your Controlling Persons)	☐
c.	*Active Non-Financial Entity* – (i) a corporation, the stock of which is regularly traded on an established securities market. If you fall under this definition, please provide the name of the established securities market on which the corporation is regularly traded: _____ (ii) a corporation which is a related entity of such a corporation If you fall under this definition, please provide the name of the regularly traded corporation that the entity identified in section I of this form is a Related Entity of:	☐
d.	*Active Non-Financial Entity* – a Government Entity or a Central Bank	☐
e.	*Active Non-Financial Entity* – an International Organisation	☐
f.	*Active Non-Financial Entity* – other than (c)-(e) (for example a start-up NFE or a non-profit NFE)	☐
g.	*Passive Non-Financial Entity* (If this box is ticked, please include Controlling Person Self- Certification Forms for each of your Controlling Persons)	☐

Section 6: Declarations and Undertakings

I/We declare (as an authorised signatory of the Entity) 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 circumstance occurs, which causes any of the information contained in this Self-Certification Form to be incorrect.

I/We acknowledge that, in case the Country(ies) of Tax Residence listed in section 4 is/are CRS Reportable Jurisdiction(s), the information disclosed in this Form together with required information related to my/our financial account (as described in An nex I Section I of "Loi du 18 décembre 2015 relative à la Norme Commune de Déclaration (NCD)" hereafter "the Luxembourg CRS law") will be reported to the Luxembourg tax authorities or any other authorized delegates under Luxembourg law, and subsequently exchanged with the tax authorities of the CRS Reportable Jurisdiction(s) listed in Section 4, pursuant to international agreements to exchange financial account information.

I/We acknowledge that, as per Article 5 of the Luxembourg CRS law, answering questions related to the information disclosed in this Self Certification Form is mandatory.

Upon request I/we will have access to the data concerning me/us that are disclosed to the Luxembourg tax authorities, and I/we will be in a position to rectify any of my/our personal data. The data collected will not be kept longer than necessary for the purpose of the Luxembourg CRS law.

Authorised Signature(s)*:……..

Print Name*:……..

Date: (dd/mm/yyyy):*……..

Capacity in which declaration is made*:……

Appendix II - Controlling Person Self-Certification Form for FATCA and CRS

Instructions for completion

We, the Fund, are obliged under local laws and regulations to collect and report to the Luxembourg tax authorities and the relevant foreign tax authorities certain information about financial accounts held by some of the Controlling Persons of Account Holders that are Passive Non Financial Entities (NFEs).

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

If you are completing the Self-Certification Form on the Controlling Person's behalf, then you should indicate the capacity in which you have signed in Section V. For example you may be the custodian or nominee of an account on behalf of the Controlling Person, or you may be completing the form under a signatory authority or power of attorney.

If you have any questions about this Self-Certification Form or defining your FATCA or CRS status, please speak to your tax adviser or local tax authority.

For further information on CRS please refer to the OECD automatic exchange of information portal: http://www.oecd.org/tax/automatic-exchange/

*(Mandatory fields are marked with an *)*

Section 1: **Controlling Person Identification (please refer to the glossary)**

Name*:	

Residential Address*:

Address:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	

Mailing address (if different from above):

Address:	
City, Town, State, Province or County:	
Postal/ZIP Code:	
Country:	

Place of Birth*:

Town or City of Birth*:	
Country of Birth*:	
Date of Birth*(dd/mm/yyyy):	

Legal name of the relevant Passive NFE(s) of which you are a Controlling Person*:

Legal name of Entity 1	
Legal name of Entity 2	
Legal name of Entity 3	

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

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

(a) ☐ I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal Taxpayer Identifying Number

(U.S. TIN) is as follows: _____

OR

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

Section 3: CRS Declaration of Tax Residence (please note you may choose more than one country)*
Please indicate your country of Tax Residence (if resident in more than one country, please detail all countries of Tax Residence and associated Tax Identification Numbers).

Country of Tax Residence	Tax ID Number

Section 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.	**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 ☐	

Section 5: Declaration and Undertakings:

I declare that the information provided in this Self-Certification Form is, to the best of my knowledge and belief, accurate and complete.
I 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 acknowledge that, in case the Country(ies) of Tax Residence listed in section 3 is/are CRS Reportable Jurisdiction(s), the information disclosed in this Self-Certification Form together with required information related to my financial account (as described in Annex I Section I of the Luxembourg CRS law: "*Loi du 18 décembre 2015 relative à la Norme commune de déclaration (NCD)*") will be reported to the Luxembourg tax authorities or any other authorized delegates under Luxembourg law for tax purposes, and subsequently exchanged with the tax authorities of the CRS Reportable Jurisdiction(s) listed in section 3, pursuant to international agreements to exchange financial account information.
I acknowledge that, as per Article 5 of the Luxembourg CRS law ("*loi du 18 décembre 2015 relative à la Norme commune de déclaration (NCD)*"), answering questions related to the information disclosed in this Self Certification Form is mandatory.
Upon request I will have access to the data concerning me that are disclosed to the Luxembourg tax authorities, and I will be in a position to rectify any of my personal data.
The data collected will not be kept longer than necessary for the purpose of the Luxembourg CRS law ("*loi du 18 décembre 2015 relative à la Norme commune de déclaration (NCD)*").

Authorised Signature*:……

Print Name*: ……..

Date: (dd/mm/yyyy)*: ……

Capacity*:……

GLOSSARY CRS

Note: *These are selected definitions provided to assist you with the completion of this Self-Certification Form. Further details can be found in the Directive 2014/107/EU of 9 December 2014 "as regards 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" in the Fund(s) is the person listed or identified as the holder of the Shares of the Fund(s). This is regardless of whether such person is a flow-through Entity.

A person, other than a Financial Institution, holding Shares of the Fund(s) 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.

"Active NFE"
An entity will be classified as Active NFE if it meets any of the following criteria:

a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
e) the NFE is not yet operating a business and has no prior operating history, (a " start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; **or**
h) the NFE meets all of the following requirements (a "non-profit NFE") :
    i. it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
    ii. it is exempt from income tax in its jurisdiction of residence;
    iii. it has no investors or members who have a proprietary or beneficial interest in its income or assets;
    iv. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
    v. the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

"Control"
"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who hold the position of senior managing official.

"Controlling Person(s)"
"Controlling Persons" are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) o class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.
In the case of a legal arrangement other than a trust, "Controlling Person(s) means persons in equivalent or similar positions.

"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.

"Investment Entity"
The term "Investment Entity" includes two types of Entities:

(i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:

- Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- Individual and collective portfolio management; or
- Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a customer.

(ii) The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution" – as defined under §A(6)(b) of Section VIII of the CRS) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

"Investment Entity managed by another Financial Institution"
An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'.
An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part).

"NFE"
An "NFE" is any Entity that is not a Financial Institution.

"Non-Participating Jurisdiction"
A "Non-Participating Jurisdiction" means a jurisdiction with which no agreement is in place pursuant to which it will provide the information set out in the CRS**.**

"Participating Jurisdiction Financial Institution"
The term "Participating Jurisdiction Financial Institution means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

"Passive NFE"
Under the CRS a "Passive NFE" means any: (i) NFE that is not an Active NFE; and (ii) Investment Entity as defined under §A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction.

"Related Entity"
An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

"Resident for tax purposes"
Generally, an Entity 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. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident.

"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 Entities, a Business/company registration code/number.

Annex III – Certificate for Institutional Investors

Account Name:……
Account Designation:……

Vontobel Fund & Vontobel Fund II are investment funds governed by the laws of Luxembourg.

Certain classes of shares are only intended for institutional investors (as described by the prospectus/offering document), pursuant to article 174 (2) of the law of 17th December 2010 on undertakings for collective investment, in its currently valid version.

Subscriptions may only be made in accordance with the current prospectus/offering document.

The Applicant hereby confirms that it/ or its underlying investor qualifies as Eligible Investor as provided in the prospectus/offering document of the Fund, meaning Investors who are compliant to possible other qualifications or demands which exist according to the prospectus/offering document in general or for the concrete share class.

In particular it or its client is not a natural person and fulfils one of the following requirements as an "institutional investor". The following list relates to the interpretation of the concept of "institutional investor" currently established in Luxembourg. Subscriptions by investors who do not correspond to the aforementioned list will lead to the loss of tax privileges for the corresponding class of shares of the relevant sub-fund.

(Please tick the appropriate box)

☐	Institutional Investors stricto sensu, such as banks and other professionals of the financial sector, insurance and reinsurance companies, social security institutions and pension funds, charitable institutions, industrial, commercial and financial group companies, all subscribing on their own behalf, and the structures which such institutional investors put into place for the management of their own assets.
☐	Credit institutions or other professionals of the financial sector, which: A) invest in their own name but on behalf of institutional investors, as defined above; B) in their own name, but on behalf of their non-institutional clients on the basis of a discretionary management mandate.
☐	Collective investment bodies.
☐	Holding or similar companies whose: A) investors are exclusively institutional investors, as described in the foregoing paragraphs. B) investors or financial beneficiaries are high net worth natural persons, who may be considered sophisticated investors on the basis of their financial circumstances and whose holding relates to a "family" holding or similar structure.
☐	Holding or similar companies, which, on the basis of their structure and activity, have a true substance and hold important financial interests/investments.* * The qualification of an investor as institutional investor subject to this paragraph will be assessed on a case by case basis.

The Intermediary entered in the register of the fund guarantees that its underlying clients shall also comply with the above criteria at all times. He is obliged to notify possible changes immediately. The corresponding nominee is also obliged to ensure that investors who no longer correspond with the above criteria are subject to the mandatory return of their acquired fund quotas.

Signature of the Applicant

Name: _____

Title: _____

Signature date/place: _____

Annex IV – Payment instructions

VONTOBEL FUND

Account Name	Umbrella Name	CCY	Branch code	Account #	IBAN	Correspondent Bank	Correspondent Bank SWIFT BIC	BofA SWIFT BIC
Vontobel Fund – Collec Acc AUD	VONTOBEL FUND	AUD	5201	19778017	N/A	N/A	N/A	BOFAAUSX
Vontobel Fund – Collec Acc CHF	VONTOBEL FUND	CHF	6014	51086019	CH3108726000051086019	N/A	N/A	BOFACH2X
Vontobel Fund - Collec Acc CNY	VONTOBEL FUND	CNY	6055	73641024	N/A	N/A	N/A	BOFAHKHX
Vontobel Fund - Collec Acc EUR	VONTOBEL FUND	EUR	6027	11285010	LU427780000011285010	N/A	N/A	BOFALULL
Vontobel Fund - Collec Acc GBP	VONTOBEL FUND	GBP	6008	89676012	GB58BOFA16505089676012	N/A	N/A	BOFAGB22
Vontobel Fund - Collec Acc HKD	VONTOBEL FUND	HKD	6055	73641016	N/A	N/A	N/A	BOFAHKHX
Vontobel Fund - Collec Acc JPY	VONTOBEL FUND	JPY	6064	25210016	N/A	N/A	N/A	BOFAJPJX
Vontobel Fund - Collec Acc NOK	VONTOBEL FUND	NOK	NO40	97501113348	NO4097501113348	N/A	N/A	ESSENOKX
Vontobel Fund - Collec Acc SEK	VONTOBEL FUND	SEK	SE53	58151102098	SE5350000000058151102098	N/A	N/A	ESSESESS
Vontobel Fund – Collec Acc SGD	VONTOBEL FUND	SGD	6212	78013011	N/A	N/A	N/A	BOFASG2X
Vontobel Fund – Collec Acc USD	VONTOBEL FUND	USD	N/A	6550368169	N/A	N/A	N/A	BOFAUS3N
Vontobel Fund – Collec Acc ZAR	VONTOBEL FUND	ZAR	6008	89676020	GB36BOFA16505089676020	Nedbank Limited	NEDSZAJJ	BOFAGB22

VONTOBEL FUND II

Account Name	Umbrella Name	CCY	Branch code	Account #	IBAN	Correspondent Bank	Correspondent Bank SWIFT BIC	BofA SWIFT BIC
Vontobel Fund II - Collec Acc CHF	VONTOBEL FUND II	CHF	6014	51083015	CH4708726000051083015	N/A	N/A	BOFACH2X
Vontobel Fund II - Collec Acc EUR	VONTOBEL FUND II	EUR	6027	11286018	LU837780000011286018	N/A	N/A	BOFALULL
Vontobel Fund II - Collec Acc GBP	VONTOBEL FUND II	GBP	6008	00030015	GB07BOFA16505000030015	N/A	N/A	BOFAGB22
Vontobel Fund II - Collec Acc JPY	VONTOBEL FUND II	JPY	6064	25212012	N/A	N/A	N/A	BOFAJPJX
Vontobel Fund II - Collec Acc USD	VONTOBEL FUND II	USD	N/A	6550568168	N/A	N/A	N/A	BOFAUS3N

17. SIGNATURES

The Undersigned declare(s) that he/she/they is/are duly authorized to sign the present subscription form and that he/she/they has/have received a copy of the Prospectus, the Ki(i)d (and where relevant a current Annual or Semi-Annual Report) which he/she/they accept(s) in full.

He/she/they further declare(s) that all information contained in this application form is accurate to the best of their knowledge and belief.

Location and date:

Investor's name	Signature
Investor's name	Signature