

# UCITS Application Form

Thornburg Global Investment plc



APRIL 2020



## Please Note

The initial, original application form should be sent by post to the Administrator.

## Completed Forms to Be Sent To:

Thornburg Global Investment plc  
c/o State Street Fund Services (Ireland) Ltd  
Transfer Agency Department  
78 Sir John Rogerson's Quay  
Dublin 2  
D02 HD32  
Ireland

Shareholder Services Team

Tel: + (353) 1 242 5580

Fax: + (353) 1 562 5534

Email: [ThornburgTA@statestreet.com](mailto:ThornburgTA@statestreet.com)

Unless otherwise defined herein, all words and expression used in this Application Form shall have the same meaning as in the Prospectus issued by Thornburg Global Investment plc (the "Company") dated 4 June 2019 (the "Prospectus").

I/We hereby apply to purchase Shares of the following Class(es) in Thornburg International Equity Fund, Thornburg Global Opportunities Fund, Thornburg Investment Income Builder Fund, Thornburg Developing World Fund, Thornburg Limited Term Income Fund, Thornburg Long/Short Equity Fund, and/or Thornburg Strategic Income Fund (each a "Fund").

## For Dividend Distributions

If no box is checked, dividends will be automatically reinvested.

Dividends

Reinvest

Paid in Cash

(for "Paid in Cash" option, directly deposit dividends per instructions used for "Bank Account Details for Redemption Payments")

## Subscription Information

Please pay subscription monies to the following account

Account Name:	Thornburg Glob Invst PLC SuRed	Thornburg Global Investment PLC
Currency:	USD	EUR
Beneficiary Bank Name:	Bank of America N.A.	Bank of America N.A., London
Beneficiary Bank BIC:	BOFAUS3N	BOFAGB22
Branch:	—	6008
ABA:	026009593	—
CHIPS:	0959	—
A/C Number:	6550-2-63049	84104018
IBAN:	—	GB77 BOFA 1650 5084 1040 18
Reference:	Name of Fund/Share Class/ Applicant	Name of Fund/Share Class/ Applicant

## Details of Expected Investment

Level of expected total investment:

- Ranging between a currency equivalent to USD 0 to USD 15K
- Ranging between a currency equivalent to USD 15K to USD 100K
- Ranging between a currency equivalent to USD 100K to USD 1M
- Ranging between a currency equivalent to USD 1M to USD 100M
- Superior to a currency equivalent to USD 100M

Declaration of investment:

Please tick one of the following boxes to confirm whether you invest for your own account or on behalf of another person.

- Investing on my/our own behalf
- Investing on behalf of a Third Party Disclosed in the Investor Name
  - Discretionary
  - Non-discretionary
- Investing on behalf of several non-disclosed Third Parties (omnibus/pooled accounts)
  - Discretionary
  - Non-discretionary

## Registration Details

### Please Note

For corporate applicants, if the registered office is a P.O. Box, please also provide the full address of place of business or of a director for registration purposes.

Account Name:	<input type="text"/>
	(in full)
Company Name:	<input type="text"/>
	(if different from account name)
Registered Address:	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Correspondence Address:	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

If Applicant is a Legal Entity, please choose one:

Financial Institution (Please specify)

Corporate Entity

Trust  Investment Fund

Nominee

Other (Please specify)

Company Registration Number:

Place of Incorporation:

Date of Incorporation (dd/mm/yy):

Telephone Number:

Facsimile Number:

Email Address:

Email Address (statement recipient only):

Email Address (statement recipient only):

Contact Person:

**Please Note**

Should you wish to add recipients for account statements, please fill in additional email address(es) to the right.

**Intermediary Details**

(Complete as applicable)

Broker ID:  Branch ID:

Broker Name:

Broker Address:

Representative Name:

Representative ID:

Telephone:  Facsimile:

Email Address:

**Bank Account Details for Redemption Payments**

(Complete as applicable—No third-party payments are permitted)

Currency:  US\$  EUR

Intermediary Bank:

Intermediary Bank Address:

Intermediary Bank ABA/Sort Code/SWIFT:

Account Name:

IBAN/Account Number:

Beneficiary Bank:

Beneficiary Bank ABA/Sort Code/SWIFT:

Account Name:

Account Number:

**Please Note**

It is the intention that redemption proceeds in respect of Shares will be paid within 2 Business Days of the Dealing Day provided that all the required documentation has been furnished to and received by the Administrator. The maximum period between submission of a redemption request and payment of redemption proceeds cannot exceed 10 Business Days.

In the case of a request to change bank details, please provide an original written instruction signed by a duly authorized signatory.

## Politically Exposed Persons (PEP)

Please complete EITHER Section A or B, with reference to the definitions below

A **Politically-Exposed Person** (“PEP”) is an individual who has at any time in the preceding 12 months been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

1. a “specified official”\*
2. a member of the administrative, management or supervisory body of a state-owned enterprise

\* A “specified official” is (including any such officials in an institution of the European Communities or an international body):

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliament or of similar legislative bodies;
- (c) members of the governing bodies of political parties;
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- (e) members of courts of auditors or of the boards of central banks;
- (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (g) members of the administrative, management or supervisory bodies of State-owned enterprises;
- (h) Directors, deputy directors and members of the board or equivalent function of an international organisation.

Note: No public function referred to in points (a) to (h) shall be understood as covering middle-ranking or more junior officials.

An **immediate family member of a PEP** includes any of the following persons:

1. any spouse of the PEP;
2. any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
3. any child of the PEP;
4. any spouse of a child of the PEP;
5. any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
6. any parent of the PEP;
7. any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A **close associate of a PEP** includes any of the following persons:

1. any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP;
2. any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a **beneficial owner** of a body corporate is any individual who (other than a company having securities listed on a regulated market):

1. ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25 per cent of the shares or voting rights of the body; or
2. otherwise exercises control over the management of the body.

## Section A

To be completed only if the PEP rules apply with reference to the above definitions

Further supporting documentation may be requested if deemed necessary to verify the above information.

The application is being made by a PEP/immediate family member of a PEP/close associate of a PEP

OR

the applicant has a beneficial owner who is a PEP/immediate family member of a PEP/close associate of a PEP

OR

the application is being made for the benefit of a PEP/immediate family member of a PEP/close associate of a PEP

OR

it is intended to transfer the shares to a PEP/immediate family member of a PEP/close associate of a PEP

Name of PEP:

Address of PEP:

Office of PEP:

Relationship of Applicant or Applicant's Beneficial Owner to PEP:

Source of Wealth of the PEP (e.g. income from employment, income from company business, inheritance, etc.)

Inheritance

Gift

Sale of Business

Salary

Pension

Investment income

Lottery

Sale of assets (please specify)

Other (please specify)

## Section B

Please tick box below if the PEP rules do not apply with reference to the definitions above

I/we confirm that the application is NOT being made by a PEP/immediate family member of a PEP/close associate of a PEP

AND

the applicant does not have a beneficial owner who is a PEP/immediate family member of a PEP/close associate of a PEP

AND

the application is NOT being made for the benefit of a PEP/immediate family member of a PEP/close associate of a PEP

AND

it is NOT intended to transfer the shares to a PEP/immediate family member of a PEP/close associate of a PEP

## Personal Portfolio Investment Undertaking (PPIU)

Please choose client type:  self  group  company

I/we confirm that I am/we are an Irish Resident or Irish Ordinary Resident who is a director or has a relationship with a director of the fund.

Please enter name(s) of PPIU

## Declarations, Representations, and Agreements

1. The undersigned ("Subscriber") hereby irrevocably undertakes to subscribe for, switch or redeem Shares of the Funds and classes of the Company, all upon the terms of the then current Prospectus of the Company.
2. This Agreement shall not be binding on the Company unless accepted by the Company and the Company or the Administrator as relevant may reject any subscription request form at its entire discretion without assigning any reason therefor. Capitalised terms used herein shall have the meanings ascribed to them in the then current Prospectus and Supplement(s) of the relevant Fund.
3. The Subscriber hereby represents and warrants that:
  - (a) it has the legal capacity, power and authority to execute and deliver this Application Form and has not been convicted of any criminal activities and the subscription monies are not the proceeds of criminal misconduct and the funds presented to complete this transaction are from legitimate sources in connection with the Subscriber's regular and permitted business activities;
  - (b) it has received, read and understands the current Prospectus of the Company and, where applicable, the most recent annual report and accounts of the Company and, if issued after such reports and accounts, its most recent semi-annual unaudited report including, without limitation, those sections of the Prospectus relating to the risks and fee structure of the Fund and has relied solely on the Prospectus in determining to invest in the Shares of the Fund, and it has such knowledge and experience in business and financial matters as to be capable of evaluating the merits and risks of investing in the Shares of the Fund and is able to bear the economic risk of that investment.
4. The Subscriber has made arrangements for payment to be made by electronic transfer.
5. The Subscriber hereby represents, warrants and declares that it: (i) is not a U.S. Person as defined in the Prospectus; (ii) has not been solicited to purchase and has not and will not acquire Shares while present in the United States; (iii) is not purchasing Shares as a nominee of a U.S. Person and it is not acting on behalf of nor does it intend to transfer any Shares to any U.S. Person(s); (iv) is not acquiring Shares for the account or benefit of a U.S. Person and will not at any time hold Shares, directly or indirectly, for the account or benefit of a U.S. Person; (v) will not transfer any Shares or any interest therein to a U.S. Person and will not transfer any Shares within the United States; (vi) is not using funds that have been obtained from a U.S. Person to effect the purchase of the Shares; and (vii) will immediately notify the Company if it should at any time become a U.S. Person. The Subscriber agrees to substantiate the foregoing representations and warranties upon request.
6. The Subscriber undertakes to observe and be bound by the provisions of the Memorandum and Articles of Association of the Company (as amended from time to time) (the "Articles") by which the Company is constituted.
7. The Subscriber acknowledges that this application is made at a price determined in accordance with the Articles and that the Directors reserve the right to reject any application in whole or in part.
8. The Subscriber hereby warrants that it has the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Company, is aware of the risks inherent in investing in the assets in which the Company will invest and the method by which these assets will be held and/or traded, and can bear the loss of its entire investment in the Company.
9. The Subscriber hereby declares that the Shares are not being acquired and will not be held in violation of any applicable laws.
10. The Subscriber hereby represents and declares that it is fully informed as to: (i) the legal requirements within its country for the purchase of the Shares and is permitted to purchase the Shares under the laws and regulations of its home country in the manner in which the Shares have been offered and sold to it; (ii) any foreign exchange restrictions applicable to it; and (iii) any relevant tax considerations relating to it arising out of its purchase and ownership of Shares.
11. The Subscriber agrees not to duplicate or to furnish particulars of the Prospectus, or to divulge any of its contents, to any person other than its investment, legal or tax advisors (who may use the information contained in the Prospectus solely for purposes relating to the Subscriber's investment in the Company).

### Please Note

If you would like to request a copy of the Prospectus, Annual Report, or Semi-Annual Report, please contact Shareholder Services, + (353) 1 242 5580  
[ThornburgTA@statestreet.com](mailto:ThornburgTA@statestreet.com),  
or visit [www.thornburg.com](http://www.thornburg.com).



12. The Subscriber hereby confirms that it be deemed to make, on a continuing basis and in respect of all subsequent applications for Shares in the Company, each of the statements contained herein unless it notifies the Company to the contrary in relation to any Shares it may hold or obtain at any time.
13. The Subscriber agrees to notify the Company, the Distributor or the Administrator immediately if it becomes aware that any of the representations or declarations is no longer accurate and complete in all respects and agrees immediately to take such action as the Company, the Distributor or the Administrator may direct, including where appropriate, the redemption of its holding in the entirety.
14. The Subscriber hereby agrees to indemnify and hold harmless the Company, the Custodian, the Investment Manager, the Administrator, the Distributor (and their respective directors, officers and employees) and the other Shareholders against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result, directly or indirectly, from (i) any misrepresentation by it or breach by it of any warranty, condition, covenant or agreement contained herein or in any other document delivered by it to the Company and (ii) its holdings of Shares in the Company which brings the Company into conflict with any requirement of any local regulatory authority or the Company incurring any liability to taxation or breaching any law or regulation of any local regulatory or taxation authority.
15. The Administrator, Investment Manager and the Company are hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this Agreement relates or which may in future be acquired by the Subscriber which are given by it in written form or by facsimile. The Subscriber hereby agrees to indemnify each of the Administrator, Investment Manager and the Company and agrees to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon written form or facsimile instructions to the extent that such party acted properly upon receipt of such instructions. The Administrator, Investment Manager and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any instructions believed in good faith to be genuine and to be signed by properly authorised persons.
16. The Subscriber acknowledges and agrees that the Administrator may electronically deliver reports to Shareholders of the Company. Such reports may include but are not limited to contract notes, holdings confirmations, valuation statements and other reports which may be issued by the Administrator from time to time.
17. **“Data Protection Legislation”** means the General Data Protection Regulation (2016/679) (EU) (“GDPR”) and any other laws which apply to the Company in relation to the processing of Personal Data (as may be amended or supplemented from time to time) (the **“Data Protection Legislation”**) in the context of the following:
  - (a) In respect of processing of personal data (as defined by the Data Protection Legislation) I/we hereby acknowledge/agree that I/we have received, read, understand and accept the contents of the data privacy notice at Appendix IV, as may be amended and notified to the Applicant from time to time (the **“Privacy Notice”**);
  - (b) Where the Applicant is not a natural person, the Applicant agrees to provide the Privacy Notice to its directors, officers, employees, owners and any other related persons whose personal data may be shared with the Fund, the Investment Manager, the Fund’s service providers and their affiliates in relation to the Applicant’s proposed investment in the Fund;
  - (c) I/we hereby acknowledge that my/our personal data will be handled by the Company (as data controller) and the Administrator (as data processor to the Company or as data controller in respect of its regulatory obligations) in confidence and in accordance with the Data Protection Legislation;
  - (d) I/we hereby acknowledge my/our right to:
    - (i) request **access** to my/our personal data and request certain information in relation to its processing;
    - (ii) request to amend and **rectify** my/our personal data;
    - (iii) request to have my/our personal data **erased**;
    - (iv) request the **restriction** of processing of my/our personal data;
    - (v) **object** to the processing of my/our personal data; and

(vi) request the **transfer** of my personal data to another party.

To exercise any of these rights or for more information please email [privacy@thornburg.com](mailto:privacy@thornburg.com);

- (e) I/we also acknowledge that this personal data may be processed by the Administrator and/or the Company and/or its delegated agents or service providers for the legitimate purposes of carrying out the services of the Company and to comply with legal obligations.
- (f) I/we further acknowledge that the Administrator or the Investment Manager may disclose my/our personal data to third parties for their legitimate purposes, including marketing;
- (g) I/We, being an individual investor(s), declare that I/we am/are over 18 years of age and of full legal age and capacity;
- (h) I/we consent to the recording of telephone calls made to and received from me/us by the Company, its delegates, its duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes;
- (i) I/we acknowledge that Personal Data included in money transfers is processed by service providers and other specialized companies, such as SWIFT (Society for Worldwide Interbank Financial Telecommunication). Such processing may be operated through centers located in other European countries and in the United States of America in accordance with their local legislation. As a result, the US authorities can request access to personal data held in such operation centers for the purposes of fighting terrorism. I/we acknowledge that by instructing a payment order or any other operation, I/we are giving implicit consent that all data elements necessary for the correct completion of the transaction may be processed outside of Ireland. In the interests of efficient management, personal data relating to each me/us shall be recorded on a machine readable medium.
- (j) I/we acknowledge my/our right to object to the processing of my/our data for direct marketing purposes by written request to the Company free of charge;
- (k) I/we consent to the sending by the Company of information about other investment services to me/us, by letter, telephone or other reasonable means of communication; and
- (l) Please tick this box if you **do not** wish to receive communications referred to at 17 (k) above:

18. For joint applicants only:

We direct that on the death of one of us the Shares for which we hereby apply to be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last survivor.

- 19. The Subscriber agrees to provide such information as may be required (whether in this Application Form or otherwise), and it consents to the disclosure of such information to such person or persons as may be deemed to be a Paying Agent in order to permit them to comply with their obligations under FATCA or the CRS. The Subscriber undertakes to ensure that such information as it provides is kept up-to-date and to notify to the Administrator any change to such information which may be relevant for the purposes of FATCA or the CRS as soon as reasonably practicable (including without limitation any change in the Subscriber's name, permanent residential address or registered office and/or the State in which it is resident for tax purposes).
- 20. The Subscriber hereby agrees to indemnify and hold harmless such person or persons as may be deemed to be a Paying Agent against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly from any failure by the Subscriber to provide information or from any information which the Subscriber provides being incorrect or ceasing to be correct in accordance with this Application Form.
- 21. The Subscriber hereby acknowledges that any notice or document may be served by the Company on it in the manner specified from time to time in the relevant Prospectus and, for the purposes of the Electronic Commerce Act 2000 as may be amended from time to time, if it has provided an e-mail address or fax number to the Company or its delegate, consent to any such notice or document being sent to it by fax or electronically to the fax number or e-mail address previously identified to the Company or its delegate which it

acknowledges constitutes effective receipt by it of the relevant notice or document. The Subscriber acknowledges that it is not obliged to accept electronic communication and may at any time choose to revoke its agreement to receive communications by fax or electronically by notifying the Company in writing provided that the agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.

22. The Subscriber hereby acknowledges, confirms, warrants, declares and represents that:
- (a) in subscribing for Shares, it is not involved in: (i) concealing or disguising any property which is, or which directly or indirectly represents, the proceeds of a criminal activity; or (ii) converting or transferring any property which is, or which directly or indirectly represents, the proceeds of criminal activity for the purpose of avoiding prosecution for an offence;
  - (b) it has complied with all anti-money laundering obligations imposed on it pursuant to applicable anti-money laundering legislation;
  - (c) it does not know of or suspect and has no reason to suspect that any of the subscription monies forwarded by it for Shares is, or directly or indirectly represents, the proceeds of any criminal activity and subscription pursuant to this Application Form is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise nor is intended to be applied in such a way as may constitute an offence of financing terrorism under the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (the "CJA 2010");
  - (d) the Company, Custodian, Administrator, Investment Manager and Distributor and their respective directors, officers and employees shall be held harmless and indemnified against any penalty or loss arising as a result of the foregoing representations and undertaking being shown to be untrue or incorrect in any way.
23. The Subscriber acknowledges that due to anti-money laundering requirements operating within their respective jurisdictions the Administrator, Distributor and the Company (as the case may be) may require further information, including identification, as described in the Prospectus, from it before its fund transaction(s) can be processed. The Subscriber further acknowledges that any delay in providing such documentation may result in delayed processing of the application for Shares and/or delayed payment of any future redemption payments or processing of Shares transfer requests. The Company, Custodian, Administrator, Investment Manager and Distributor shall be held harmless and indemnified against any loss arising as a result of a failure to process its fund transaction(s) if such requested information has not been provided by the Subscriber.
24. The Subscriber undertakes to abide by the restrictions on transfers of Shares set out in the Prospectus and undertakes to complete a transfer form as required by the Company in respect of such transfer.
25. The Subscriber declares its tax position to be as follows  
(Please tick the appropriate option):
- (a) Non-Irish Resident  
(Please complete declaration in Appendix I)
  - (b) Resident in the Republic of Ireland  
Tax identification number:
  - (c) Resident in the Republic of Ireland but tax exempt  
(Please complete declaration in Appendix II)
26. The Subscriber hereby acknowledges that it has received and read the Key Investor Information Document(s) for the Fund(s) and Class(es) to which its subscription relates, and that it understands and accepts the objectives and risks outlined therein. The Subscriber hereby confirms that for any subsequent investments it will obtain and read the latest version of the appropriate Key Investor Information Document.

## Notes

1. Under Irish anti-money laundering legislation, the Company or Administrator must obtain information to verify the identity and permanent address of any new investor in the Company in accordance with the requirements of the CJA 2010. In addition, the Company or Administrator may also require an intermediary that is applying for Shares on behalf of persons (which may include natural and/or legal persons) who will be beneficially entitled to these Shares to obtain such information from such third parties. The Administrator reserves the right to request such information as is necessary to verify the identity of an applicant and/or the source of the subscription monies.

Please refer to the investor type below and provide the required information.

Please note that the documentation requirements set forth in this section do not necessarily constitute a definitive list. In accordance with the terms of the Prospectus, additional proof of identity documentation may be required from any applicant at the sole discretion of the Administrator and/or the Company.

(a) If a regulated investor:

- Original application form with completion of declaration of non-Irish residency, and bank details
- Proof of regulation for the investor
- Authorised signatory list
- If acting as an intermediary, further documentation will be required

(b) If an individual investor:

- Original application form with completion of declaration of non-Irish residency, and bank details
- Certified proof of identity with specimen signature
- Certified proof of valid address document

(c) If an institutional investor established as a corporate entity:

- Original application form with completion of declaration of non-Irish residency, and bank details
- Authorised signatory list
- Formation documentation
- Names and residential addresses of directors
- Certified copies of the passports for directors and authorised signatories
- Identification of beneficiaries owning or controlling in excess of 25% of the issued share capital
- Source of Wealth

In each case certified copies should be certified by a Police officer, practising chartered/certified public accountant, notary public/practising solicitor, embassy/consular staff a director or manager of a regulated financial/credit institution, medical professional or a member of the judiciary or any person so authorised under the laws of your country or domicile (except that the authorised signatories list may be certified by the company secretary where the investor is domiciled in an approved country and regulated).

Other entity types will require their own unique documentation which will be communicated to an applicant. Such other entity types may include, but are not necessarily limited to, the following:

- Charities
- Government entities
- Foundations
- Funds
- Pension Schemes
- Occupational Pension Schemes
- Entities listed on a stock exchange
- Entities based in non-prescribed countries
- Partnerships or Trusts

- Universities
  - Nominee Structures
2. In the event of delay or failure by the applicant to produce any information required for verification purposes, the Administrator may refuse to accept the application and subscription monies.
  3. In the case of Joint Applicants, all must sign and supply names and addresses in accordance with “Registration Details” above. Please note that only the first-named holder’s address will be used for registration. A corporation should sign under the hand of a duly authorised official who should state his representative capacity. If this form is signed under a power of attorney, such power or a duly certified copy thereof must accompany this form.
  4. All individual investors have the right of access to, and to update, all their records (whether held on computer files or manually) held by or on behalf of the Administrator. A copy of such record will be provided to an investor who requests it, upon the payment of a modest administration charge to cover the costs of complying with such request. Requests should be made in writing to the Administrator at the address set out in the Prospectus.
  5. Where the applicant is a financial institution, broker or other person applying to acquire Shares on behalf of its individual client(s) the applicant represents and warrants that it has full power and authority on behalf of the individual investor to subscribe for Shares and to execute any necessary subscription documentation, including this Application Form and, in particular but without limitation to the aforesaid, to make the representations above on behalf of such individual investor as to the agreement of such individual investor regarding the use of personal data. The Applicant also represents and warrants that it has made due diligence enquiries to make sure that the individual investor is not involved in money laundering or terrorist activities (“know your customer rules”).
  6. Where this Application Form is sent by facsimile, you must also send the original signed Application Form to the address specified above. The Administrator will not be responsible to an applicant for any loss resulting from the non-receipt of any application sent by fax.
  7. Applicants should note that the Directors, the Investment Manager or the Administrator or their agents may refuse to accept a redemption request if it is not accompanied by such additional information as they may in their absolute discretion require. I/we acknowledge that the Investment Manager or the Administrator on its behalf also reserves the right to refuse to make any redemption payment or distribution to a Shareholder where the Investment Manager or the Administrator is not satisfied with the information and documentation that has been provided. This power may, without limitation to the generality of the foregoing, be exercised where proper information has not been provided for money laundering verification purposes as described above. Applicants should note in particular that redemption proceeds will not be paid by the Administrator to an account which is not in the name of the applicant.

## Notices

Any notice required or permitted to be given to the applicant in relation to the Company, shall be sent to the address or to the facsimile number specified in the “Registration Details” section above or to such other address or facsimile number as the applicant designates by written notice received by the Administrator.

## Governing Law

This Application Form shall be governed by the laws of the Republic of Ireland.

## Signatures

I understand and agree that the confirmations, representations, declarations and warranties made herein are continuous and apply to all subsequent subscriptions for Shares by the Subscriber in the Company.

Date (dd/mm/yy):

Signature(s) of applicant(s):

### Please Note

An entity should sign under the hand of the company secretary or other duly authorised official(s) and an original or certified true copy of an authorised signatory list with sample signatures should be provided with the original application form.

## Exhibit A: Dealing Day

The Funds are valued on a daily basis. Dealing Days are any day (except Saturday or Sunday) on which banks in Ireland are open for business and the New York Stock Exchange (“NYSE”) is open for trading or such other day or days as may be determined by the Directors and notified to Shareholders in advance. If your specified Dealing Day falls on a Non-Business Day, your deal will be processed on the next available Dealing Day.

### Non-Dealing Day Schedule

Below are the days the Funds are not open:

New Years Day (US)  
Martin Luther King Day (US)  
Presidents’ Day (US)  
St. Patrick’s Day (IRE)  
Good Friday (IRE)  
Easter Monday (IRE)  
May Day (IRE)  
Memorial Day (US)  
June Bank Holiday (IRE)  
Independence Day (US)  
August Bank Holiday (IRE)  
Labor Day (US)  
October Bank Holiday (IRE)  
Thanksgiving (US)  
St. Stephen’s Day (IRE)  
Christmas Day Observed (IRE, US)  
Irish Retail Bank Holiday (IRE)

If you require any assistance or clarification in relation to the completion of this or any other form or in relation to anti-money laundering and counter-terrorist financing documentation, please contact Shareholder Services: + (353) 1 242 5580 or [ThornburgTA@statestreet.com](mailto:ThornburgTA@statestreet.com).

## APPENDIX I

This declaration should be completed and returned to:

Thornburg Global Investment plc  
c/o State Street Fund Services (Ireland) Ltd.  
Transfer Agency Department  
78 Sir John Rogerson's Quay  
Dublin 2  
D02 HD32  
Ireland

### Declaration of Residence Outside the Republic of Ireland

(non-resident composite declaration)

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

Please choose ownership representation: own behalf or intermediary

Declaration on own behalf:

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

- I am/we are/the company is not currently resident or ordinarily resident in the Republic of Ireland,

and

- should I/we/the company become resident in the Republic of Ireland I/we will so inform you, in writing accordingly.

Declaration as intermediary:

I/we declare that I am/we are applying for Shares on behalf of persons;

- who will be beneficially entitled to the Shares, and
- who to the best of my/our knowledge and belief, none of the beneficiaries are resident or ordinarily resident in the Republic of Ireland.

I/we also declare that:

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

Please choose client type:  self  group  company

Name and address of applicant:

<input type="text"/>
<input type="text"/>
<input type="text"/>

Signature of applicant or authorized signatory:  (declarant)

Capacity of authorised signatory (if applicable):

Date (dd/mm/yy):

Joint Applicants:

Name:

<input type="text"/>
<input type="text"/>

Signatures:

<input type="text"/>
<input type="text"/>



## Please Note

Any changes in the Shareholder's residence status must be notified to:

Thornburg Global Investment plc  
c/o State Street Fund Services (Ireland) Ltd.  
Transfer Agency Department  
78 Sir John Rogerson's Quay  
Dublin 2  
D02 HD32  
Ireland

## Important Notes

1. Non-resident declarations are subject to inspection by the Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Application Form (incorporating the declaration required by the Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the Application Form (incorporating the declaration required by the Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

### 4. Residence – Individual

An individual will be regarded as being resident in Ireland for a tax year if s/he:

- (a) spends 183 days or more in the State in that tax year; or
- (b) has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding year.

Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Up to 31 December 2008, presence in the State for a day means the personal presence of an individual at the end of the day (midnight). From 1 January 2009, presence in the State for a day means the personal presence of an individual at any time during the day.

### Ordinary Residence – Individual

The term “ordinary residence” as distinct from “residence” relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity.

An individual who has been resident in the State for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in the State in 2004 and departs from the State in that year will remain ordinarily resident up to the end of the tax year in 2007.

### Residence – Company

A company which has its central management and control in Ireland (the State) is resident in the State irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in the State is resident in the State except where:

- the company or a related company carries on a trade in the State, and either the company is ultimately controlled by persons resident in EU Member States or countries with which the Republic of Ireland has a double taxation treaty, or the company or a related company are quoted companies on a recognised Stock Exchange in the EU or in a tax treaty country.

or

- the company is regarded as not resident in the State under a double taxation treaty between the Republic of Ireland and another country.

It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Consolidation Act, 1997.

5. “Intermediary” means a person who:
  - (a) carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in the State on behalf of other persons, or
  - (b) hold units in an investment undertaking on behalf of other persons.
6. A corporation should affix its common seal and have it countersigned by persons authorised to countersign the seal or otherwise should execute under the hand of a duly authorised official or officials who should state his/their representative capacity. A certified copy (certified by a director or secretary of the company) of the resolution or other authority authorising one or more signatories should be provided with the Application Form.



## APPENDIX II

This declaration should be completed and returned to:

Thornburg Global Investment plc  
c/o State Street Fund Services (Ireland) Ltd.  
Transfer Agency Department  
78 Sir John Rogerson's Quay  
Dublin 2  
D02 HD32  
Ireland

### Please Note

It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

### Declaration of Residence within the Republic of Ireland<sup>1</sup> Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the Shares on behalf of the applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997 ("TCA 1997"), being a person who is: (please tick  as appropriate)

- a pension scheme;
- a company carrying on life business within the meaning of section 706 TCA 1997;
- an investment undertaking;
- a special investment scheme;
- a unit trust to which section 731(5)(a) TCA 1997 applies;
- a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;
- a qualifying management company, as defined in section 739B(1), as inserted by section 31(1)(a), Finance Act 2010;
- entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997 or by virtue of section 848E TCA, 1997 (see further requirements for Qualifying Fund Manager below).
- a PRSA Administrator
- a credit union within the meaning of section 2 of the Credit Union Act 1997

#### Additional requirements where the declaration is completed on behalf of a Charity

- I also declare that at the time of making this declaration, the Shares in respect of which this declaration is made are held for charitable purposes only and;
  - form part of the assets of a body of persons or trust treated by the Revenue Commissioners as a body or trust established for charitable purposes only, or
  - are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.
- I undertake that, in the event that the person referred to in paragraph (7)(d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA, 1997, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed by a qualifying fund manager/qualifying savings manager/PRSA Administrator**

- I/we also declare that at the time this declaration is made, the Shares in respect of which this declaration is made
  - are assets of an approved retirement fund/an approved minimum retirement fund, a special savings incentive account or a PRSA, and
  - are managed by the Declarant for the individual named below who is beneficially entitled to the Shares.
- I/we undertake that, if the Shares cease to be assets of the approved retirement fund/the approved minimum retirement fund, a PRSA, or held in a special savings incentive account, including a case where the Shares are transferred to another such fund or account, I/we will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed by an Intermediary**

- I/we declare that I am/we are applying for Shares on behalf of persons who
  - to the best of my/our knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made; and
  - is a person referred to in section 739D(6) TCA 1997.
- I/we also declare that
  - unless I/we specifically notify you to the contrary at the time of application, all applications for Shares made by me/us from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and
  - I/we will inform you in writing if I/we become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

Name of applicant:

<sup>2</sup> Irish Tax Reference Number of applicant:

<sup>3</sup> Signature of applicant or authorised signatory:

Title (Mr./Ms. etc.):

Capacity in Which Declaration is Made (if applicable):

Date (dd/mm/yy):

### Important Notes

- <sup>1</sup> This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
- <sup>2</sup> Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue Commissioners. In the case of a qualifying fund manager/qualifying savings manager, quote the tax reference number of the beneficial owner of the Shares.
- <sup>3</sup> In the case of, (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. It must also be signed by a qualifying fund manager of an approved retirement fund/an approved minimum retirement fund, by a qualifying savings manager of a special savings incentive account or by a PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.
- <sup>4</sup> An "Intermediary" means a person who:
  - (a) carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in the State on behalf of other persons, or
  - (b) hold units in an investment undertaking on behalf of other persons.

### Please Note

Any changes in the Shareholder's residence status must be notified to:

Thornburg Global Investment plc  
c/o State Street Fund Services (Ireland) Ltd.  
Transfer Agency Department  
78 Sir John Rogerson's Quay  
Dublin 2  
D02 HD32  
Ireland

## APPENDIX III

### Data Privacy Notice

By completing the Declaration, you are providing personal data to the Fund, Thornburg Global Investment plc, 3rd Floor, 3 George's Dock, IFSC Dublin D01 X5X0, Ireland. This notice is to make you aware of how the Fund as data controller collects, holds, uses and processes your personal data, as well as the steps we are taking to ensure our data processing is in compliance with the Data Protection Acts 1988 – 2003, as replaced by General Data Protection Regulation (EU/2016/679) (“GDPR”) and any implementing legislation (“Data Protection Legislation”).

#### Scope

This Notice applies to you and to any third parties (including, but not limited to, agents or employees) whose information you provide to us in connection with our relationship with you. It is your responsibility to ensure that any third parties whose personal data you provide to us are aware of their rights in this regard and are provided with a copy of this Notice. Any references to “you” and “your” should be construed to include such third parties. We may update this Notice from time to time and we will notify you in writing of any changes we make, with substantial changes being directly notified to you along with the legal basis for doing so and minor updates being posted to our website and included in the Fund’s periodic reports. There may also be circumstances where the parties identified in the directory of the prospectus of the Fund, including the Depositary or Administrator, or any of the other third parties engaged by the Fund including legal or financial advisors, regulatory bodies, auditors and technology providers may act as data controllers with respect to your personal data in conjunction with their relationship with the Fund and this Notice also pertains to their use of such data.

#### Nature, Purpose and Legal Basis of Processing

The Fund will hold some or all of the following types of your personal data: *name, e-mail, phone number, address, date of birth, copies of proof of identity documents which may include a photograph, tax identification numbers, account numbers, data on transactions, trading and settlement, and any other information required to perform requested services.*

Your personal data will be processed to open your account, process, manage and administer your holding(s), including further subscriptions, redemptions, transfers or conversions or the payment of distribution and any related accounts on an on-going basis.

We will process your personal data as necessary for the performance of your contract with us. We will also process personal data as necessary to comply with all legal obligations of the Fund, including but not limited to conducting anti-money laundering checks (see “Regulatory Checks and Sanctions Regimes” below), to report to tax authorities, for statistical analysis and market research. We will inform you in advance if we intend to further process your personal data for a purpose other than those set out above. We may also seek your consent to the processing of your personal data for other specific purposes. You will have the right to withdraw such consent at any time and in such circumstances your personal data will only be processed in accordance with another legal basis, if any, which will be notified to you on request.

#### Collection of Personal Data

Personal data may be collected from you on behalf of the Fund from the details supplied on the subscription application form of the Fund but also whenever you interact with the Fund or any of its service providers, including when you visit its website, request literature or call a representative of a service provider or the Fund. We may also receive personal data regarding you from third parties such as companies contracted to provide you services or contracted by us for marketing purposes, and from public sources including the Companies Registration Office.

#### Recipients of Your Personal Data

Your personal data will be disclosed to, and processed by, State Street Fund Services (Ireland) Ltd., which will be the Transfer Agent of the Fund for the purposes of this Data Protection Notice. We will disclose your personal data to the Transfer Agent for the purposes of carrying out the services of administrator and registrar of the Fund and to comply with legal obligations, including under company law and anti-money laundering legislation or foreign regulatory re-

quirements. The Transfer Agent may in turn disclose your personal data to agents or other third parties where necessary to carry out these purposes.

We may also disclose your personal data to other third parties where it is required by law, is necessary to perform our contract with you or where we have another legitimate interest in doing so:

- The Depositary;
- The Money Laundering Responsible Officer, the Investment Manager, and our/their duly authorised agents and related, associated or affiliated companies;
- The Irish Revenue Commissioners;
- The Irish Central Bank;
- Agents or affiliates of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
- Other third parties including legal or financial advisors, regulatory bodies, auditors and technology providers.

We take all reasonable steps, as required by the Data Protection Legislation, to ensure the safety, privacy and integrity of your personal data and may, as appropriate, enter into contracts with such third parties to protect the privacy and integrity of any personal data supplied to us.

#### **Transfers of Personal Data Outside the EEA**

We may transfer your data to countries outside of Ireland (including the United States of America and Hong Kong) which may not have the same data protection laws as Ireland or your jurisdiction. We will take all steps reasonably necessary to ensure that your personal data is treated securely, and that appropriate safeguards are in place to protect the privacy and integrity of such personal data, in accordance with the requirements of the Data Protection Legislation. Please contact us if you wish to obtain more information concerning these safeguards (see "Contact Us").

#### **Regulatory Checks and Sanctions Regimes**

In addition to fulfilling the obligations of the Fund, the Transfer Agent and Depositary may be subject to their own additional anti-money laundering or foreign regulatory requirements, which may include the requirement to cross-check your personal data against applicable governmental sanctions lists, implemented by the European Union, the United Nations and the United States of America. This processing of your personal data is also necessary for the performance of your contract with us and may also involve disclosure of your personal data to other State Street Fund Services Entities (see "Recipients of Your Personal Data") and the transfer of your personal data outside of Ireland (see "Transfers of Personal Data Outside the EEA"). Please contact us using the details below if you want to obtain more information.

#### **Where You Do Not Provide Your Personal Data**

If you do not provide us with your personal data, we may not be able to process your investor application or may need to terminate the business relationship with you. We will tell you when we ask for information which is a contractual requirement or required to comply with our legal obligations.

#### **Security and Retention of Your Data**

The Fund takes all reasonable steps as required by Data Protection Legislation to ensure the safety, privacy and integrity of your personal data. The Fund will retain your personal data only for as long as is necessary to manage your investment, meet regulatory requirements and carry out the purposes set out above and/or to comply with any legal obligations (whichever is longer), including any related investigations or litigation. This will typically extend for a number of years beyond the term of your investment in the Fund. Please contact us if you wish to obtain more information concerning the relevant retention periods (see "Contact Us").

### **Your Rights**

You have a right to obtain a copy of, and the right to rectify any inaccuracies in, the personal data we hold about you by making a request to us in writing. You also have rights in certain circumstances to request erasure, restriction, portability and to not be subject to a decision based on automated processing (including profiling).

You should inform us of any changes to your personal data. If you wish to assert any of your rights, please contact us using the details set out below. We will respond to your request in writing, or orally, if requested, as soon as practicable and in any event not more than one month after receipt of your request.

You have the right to lodge a complaint with the Irish Data Protection Commissioner if you are unhappy with how your personal data is being handled.

### **Contact Us**

This Notice was prepared with brevity and clarity in mind and is not an exhaustive account of how personal data is processed for the Fund. If you have any queries regarding this Data Protection Notice, or our use of your personal data, please contact us at [privacy@thornburg.com](mailto:privacy@thornburg.com).

## **Individual (including Controlling Persons) Self-Certification for FATCA and CRS**

### **Instructions for completion and Data Protection Notice**

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the Data Protection Acts, 1998 and 2003 of Ireland. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with Revenue, the Irish tax authority. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information on FATCA or CRS please refer to the Irish Revenue or OECD websites at:

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

<http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

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

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

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

**(Mandatory fields are marked with an \*)**

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

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

**\*Current Residential Address:**

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

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

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

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

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

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

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

**\*Place and Date Of Birth**

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

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

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

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

- (a)  I confirm that I **am** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

**OR**

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

---

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

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")). For further guidance please refer to the OECD CRS Information Portal (<http://www.oecd.org/tax/automatic-exchange/>).

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

- a) You are tax resident in a Jurisdiction that does not issue a (TIN),  
or,  
b) You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

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

∞If a TIN is unavailable, please provide the appropriate reason **A, B** or **C** where indicated below:

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

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

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

\_\_\_\_\_

## Section 4 – Type of Controlling Person

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

For Joint or multiple Controlling Persons please use a separate Self-Certification form for **each** Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	Please Tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		



**\*Section 5: Declaration and Undertakings:**

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

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

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

**Data Protection - Customer Information Notice :**

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

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

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

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

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>  
And on the Irish Revenue website - <http://www.revenue.ie/en/business/aeoi/>

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

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

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

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

  

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## **Entity Self-Certification for FATCA and CRS**

### **Instructions for completion and Data Protection notice.**

*We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the Data Protection Acts, 1988 and 2003 of Ireland. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.*

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

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

<http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

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

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

**(Mandatory fields are marked with an \*)**

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### **\*Section 1: Account Holder Identification**

**\*Account holder Name:** \_\_\_\_\_ (the "Entity")

**Country of Incorporation or Organisation:** \_\_\_\_\_

### **\*Current (Resident or Registered) Address:**

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

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

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

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

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

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

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

---

**\*Section 2: FATCA Declaration:**

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

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

U.S. TIN: \_\_\_\_\_

Or

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

Or

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

Indicate exemption: \_\_\_\_\_

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

**3.1 Financial Institutions under FATCA:**

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

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

**3.2 Please provide the Entity's Global Intermediary Identification number (GIIN)**

□□□□□□.□□□□□□.□□.□□□□

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

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

### 3.4. Non-Financial Institutions (Non-Financial Foreign Entity/NFFE) under FATCA:

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

I.	<b>Active Non-Financial Foreign Entity (NFFE)</b>	<input type="checkbox"/>
II.	<p><b>Passive Non-Financial Foreign Entity (NFFE)</b> (Please tick the box that applies)</p> <p>I. <b>Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons.</b></p> <p>II. <b>Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S Persons.</b> (If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in section 6.1 below and separately complete and include self-certification forms for each of your Controlling Persons)</p>	<input type="checkbox"/>  <input type="checkbox"/>
III.	<b>Excepted Non-Financial Foreign Entity (NFFE)</b>	<input type="checkbox"/>
IV.	<p><b>Direct Reporting Non-Financial Foreign Entity (NFFE)</b></p> <p>Please provide your GIIN</p> <p><input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p>	<input type="checkbox"/>

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

Please indicate the Entity’s country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers (“TIN”). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence.

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

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

- a) You are tax resident in a Jurisdiction that does not issue a (TIN)
- Or
- b) You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

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

∞If a TIN is unavailable, please provide the appropriate reason **A, B or C** where indicated below:

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

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

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

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**\*Section 5: Entity's CRS Classification** (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary.

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

**5.1 Financial Institutions under CRS:**

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

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

<http://www.revenue.ie/en/business/aeoi/participating-jurisdictions.pdf>

I.	<b>A Reporting Financial Institution resident in a participating CRS jurisdiction</b>	<input type="checkbox"/>
II.	<p><b>A Financial Institution Resident in a Non-Participating Jurisdiction</b> (Please also tick the box that applies)</p> <p><input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution</b> (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in <b>section 6 below</b> and complete a separate individual self-certification forms for each of your Controlling Persons“)</p> <p><input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</b></p> <p><input type="checkbox"/> <b>Other Financial Institution</b>, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>	<input type="checkbox"/>
III.	<p><b>Non-Reporting Financial Institution under CRS.</b></p> <p><b>Specify the type of Non-Reporting Financial Institution below:</b></p> <p><input type="checkbox"/> Governmental Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law:</p> <p>_____</p>	<input type="checkbox"/>

**5.2 Non Financial Institution (Non-Financial Foreign Entity/NFE) under CRS:**

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

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

**∴ Section 6: Controlling Persons**

**NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form.**

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

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

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

**Name of All Controlling Person(s) of the Account Holder:**

If you have ticked sections 5.1 VI above, then please complete section 6.1 and 6.2 below:

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

I.	
II.	
III.	

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

**6.2 Complete a separate Individual (Controlling Person’s) Self-Certification for FATCA and CRS for each Controlling Person listed in Section 6.1.**

**\*Section 7: Declarations and Undertakings**

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

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

I/We on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

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

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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