

APPLICATION FORM FOR NON U.S. INVESTORS FOR SHARES IN

DSP GLOBAL FUNDS ICAV (the "ICAV")

This Application Form should be read in context of and together with the Prospectus of the ICAV, as may be amended by addenda and supplements from time to time. Save where otherwise defined in this Application Form, all capitalised terms shall have the same meaning as in the Prospectus.

Copies of the Prospectus and the most recently published annual and semi-annual reports of the ICAV are freely available from the offices of the Administrator. Investors should not complete this Application Form until they have read the Key Investor Information Document relating to this investment.

The ICAV is regulated in Ireland by the Central Bank of Ireland.

If any of the details provided by the applicant(s) in this application form change during the lifetime of this investment, please advise the Administrator immediately, in order to avoid any possible settlement delays at some future date.

Please complete all the following sections and before signing read the notes overleaf.

The Administrator reserves the right to request additional information for verification purposes as set out in the Prospectus

1. **Applicant's full name**

2. **Nationality**

3. **Address of Applicant**

4. **Contact name** (if different to above)

5. **Contact address** (if different to above)

6. **Telephone No.** **Facsimile No.**

7. **E-mail Address**

8. (a) I / We confirm that our investment does not constitute funds derived from India or from sources within India .
I/ We confirm that I / We are not a person resident in India as defined under the Indian Foreign Exchange Management Act, 1999 and the Indian Income-Tax Act, 1961 ("**Person Resident in India**") or I / We are not acting on behalf of any beneficial owners who directly or indirectly is a Person Resident in India.

In case I/We are not in compliance with above conditions, I/We will furnish a confirmation to this effect to the ICAV/Administrator and also agree to furnish additional documents, details as required by the ICAV/Administrator.

b) Additional requirements for Regulated Investors (please refer to Appendix IV for the meaning of a Regulated

Investor):

- (i) I/we confirm that I/we have furnished the Administrator with documentary proof proving that it I/we are a Regulated Investor within the meaning of Appendix IV.
- (ii) I/we agree that I/we will notify the Administrator immediately where there is a change in my/our status in that I / we become a Person Resident in India or hold Shares in the ICAV on behalf of any beneficial owners who directly or indirectly is a Person Resident in India.
- (iii) I/we agree that I/we shall provide a declaration in writing regarding the participation, if any, of a Person Resident in India immediately.

c) Additional requirements for investors (other than Regulated Investors) i.e. non-individual unregulated investors:

- (i) I/we agree that I/we will notify the Administrator immediately where there is a change in my/our status in that I / we become a Person Resident in India or hold Shares in the ICAV on behalf of any beneficial owners who directly or indirectly is a Person Resident in India.
- (ii) I/we agree that I/we shall provide a declaration in writing regarding the participation, if any, of a Person Resident in India including percentage shareholding held by Person Resident in India immediately.
- (iii) I/we agree that I/we shall provide information like proof of identity and proof of address of a Person Resident in India immediately.

9. SUBSCRIPTION*

I/We hereby apply to purchase Shares in:

DSP India Equity Fund

Class of Shares	Currency	Amount
Class A USD Unhedged	USD	
Class A EUR Unhedged	Euro	
Class B USD Unhedged	USD	
Class B EUR Unhedged	Euro	
Seed Class USD Unhedged **	USD	
Founder Class USD Unhedged ***	USD	

DSP India Bond Fund

Class of Shares	Currency	Amount
Class A USD Unhedged	USD	
Class A EUR Unhedged	Euro	
Class B USD Unhedged	USD	
Class B EUR Unhedged	Euro	
Seed Class USD Unhedged **	USD	
Founder Class USD Unhedged ***	USD	

above sum shall be paid by telegraphic transfer, and I/We agree to be bound by the Instrument of Incorporation of the ICAV

and its material contracts, as set out in the Prospectus.

** (fill appropriate sub-fund and share class)*

*** The Seed Class is a founders share class and will be open for subscriptions until the Class reaches US\$50 million in net assets or such other period as may be determined by the Directors.*

****The Founders Class is a founders share class and will be open for subscriptions until the Class reaches US\$50 million in net assets or such other period as may be determined by the Directors.*

Note: Minimum initial subscription amounts, minimum holding amounts and other information in relation to each class are detailed in the relevant supplement to the Prospectus.

Note: Applications for additional shares by an existing Shareholder should be made to the ICAV by completing and submitting an Additional Subscription Form which is attached at the back of this Application Form for ease of reference.

10. REDEMPTION

Requests to redeem should be made to the ICAV by completing and submitting a Redemption Form which is attached at the back of this Application Form for ease of reference.

Redemptions will not be processed on non-cleared/verified accounts.

I/We hereby instruct the ICAV to pay all distributions and redemption payments to the following bank account being an account registered in my/our name:-

Name of Correspondent Bank: _____

Address: _____

SWIFT code: _____

Beneficiary Bank: _____

SWIFT code: _____

Beneficiary name: _____

Account number: _____

IBAN (for EUR payments): _____

11. RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013

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

In order to satisfy the Regulations, the ICAV must collect the following additional information from any applicants¹ which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

Tax Identification Number (TIN) / PPS Number²	
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Any one of the following additional documents are required to verify the TIN or PPS Number (either a

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

² A PPS Number is required if the relevant applicant is an individual.

copy or the original is sufficient)

P60
P45
P21 Balancing Statement
Payslip (where employer is identified by name or tax number)
Drug Payment Scheme Card
European Health Insurance Card

Tax Assessment
Tax Return Form
PAYE Notice of Tax Credits
Child Benefit Award Letter /Book
Pension Book
Social Services Card
Public Services Card

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

Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the ICAV in accordance with the Data Protection Act 2018 and the EU's General Data Protection Regulation 2016/679 (the "GDPR") (each as may be amended or supplemented from time to time) (together the "Data Protection Legislation"). Further information is available in the Data Privacy Statement attached at Appendix III. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.

12. APPLICATION FORM

Application forms must be received by the Administrator by 9.30 am (Irish Time) on the relevant Dealing Day.

13. SIGNATURE(S)

(All applicants must sign)

Applicants MUST sign below for this Application Form to be valid. In the case of joint applicants, all applicants should sign this Application Form.

Names: _____

Signed: _____

Date _____

14. PAYMENT

Payment by telegraphic transfer. The directors reserve the right to defer acceptance of such applications until monies are cleared.

NB: Funds should be paid in MT103 format with the following details:

USD

Correspondent Bank: HSBC Bank USA, N.A.

BIC: MRMDUS33

ABA Code: 021001088

Beneficiary Bank: HSBC Continental Europe **BIC:** CCFRFRPP

Beneficiary Name: DSP Glb Fund ICAV USD SUB/IE

IBAN: FR7630056005480548003159389

Ref: []

EUR

Beneficiary Bank: HSBC Continental Europe

BIC: CCFRFRPP

Beneficiary Name: DSP Glb Fund ICAV EUR SUB/IE

IBAN: FR7630056005480548003160456

Ref: []

Any bank charges in respect of telegraphic transfers or otherwise will be deducted from the amount or value of subscriptions and the net amount invested in Shares.

Once fully completed and signed, this Application form should be sent to the following address and/or facsimile number:

c/o HSBC Continental Europe
38, avenue Kléber
75116 Paris,
France

Facsimile: +353 1 649 7560

Telephone: + 353 1 635 6935

Email Queries only: DSP_ICAV_TA@HSBC.COM

Attention: Shareholder Services

I/We shall transfer the amount to be invested from my/our Bank accounts as follows:

By:	(name of bank)
Address:	
Reference:	
For Value on:	

15. REPRESENTATIONS

- (i) I/We, the undersigned declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, not an ERISA or Benefit Plan Investor, and that I/we am/are not acting on behalf of a US Person(s), an ERISA or

Benefit Plan Investor, nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person, an ERISA or Benefit Plan Investor.

- (ii) I/We, warrant that I/we have the right and authority to make the investment pursuant to this Application Form and hold such Shares whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the ICAV, the Manager, the Administrator and other shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.
- (iii) I/We agree that to the extent that I/we are an Ineligible Applicant, I/we shall indemnify the ICAV, the Manager, the Investment Manager, the Depositary, the Administrator and Shareholders for any loss suffered by it or them as a result of I/we acquiring or holding Shares in the ICAV.
- (iv) I/We acknowledge that the ICAV has been established with segregated liability between its sub-funds (the "**Funds**" and each a "**Fund**"). I/We hereby agree that any amounts due or payable to me / us in respect of an investment in the Fund(s), howsoever arising (including any proven claim), will be limited to, and payable only out of, the assets of the relevant Fund and in no circumstances will the assets of any other Fund be used to discharge the amount due.
- (v) I/We, agree to provide the representations in this Application Form to the ICAV on an annual basis at the request of the Administrator or the ICAV and at such other times as the Administrator or the ICAV may request and to provide on request such certificates, documents or other evidence as the ICAV may reasonably require to substantiate such representations.
- (vi) I/We, agree to notify the ICAV and the Administrator immediately if I/we become aware that any of the representations is/are no longer accurate and complete in all respects and, if deemed necessary by the ICAV at its absolute discretion, agree immediately to sell or to tender to the ICAV for redemption a sufficient number of Shares to allow the representation to be made.
- (vii) I/We hereby agree that none of the ICAV, the Manager, the Investment Manager, the Administrator or the Depositary or any of their respective directors, officers, employees or agents will be responsible or liable for the authenticity of instructions from Shareholders reasonably believed to be genuine and shall not be liable for any losses, costs or expenses arising out of or in conjunction with any unauthorised or fraudulent instructions.
- (viii) I/We, hereby confirm that the ICAV, the Directors and the Administrator are each authorised and instructed to accept and execute any instructions including subscription, redemption and /or conversion instructions and instructions relating to payment of redemption proceeds, given by me/us by facsimile or such other means as may from time to time be permitted by the Directors or their delegate. I/we acknowledge that any application for shares will be rejected by the Administrator where anti-money laundering documentation required by the ICAV and the Administrator has not been provided to the Administrator in advance. I/we acknowledge that facsimile instructions are not a secure means of communication, and are aware of the risk involved. I/we hereby indemnify the ICAV, the Directors, the Manager and the Administrator and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile instructions. The ICAV, the Directors, the Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/we acknowledge that if I/we request the Administrator to pay redemption proceeds to an account or bank the details of which differ from those held on file. I/we understand that payment cannot be affected until such time as an instruction requesting this change is forwarded by me/us to the Administrator, together with any other documentation required by the Administrator, including that required for anti-money laundering purposes. I/we acknowledge that redemption proceeds will not be paid until the application form used on initial subscription, the redemption form, together with all documentation required by the ICAV and the Administrator, including all documentation required for anti-money laundering purposes has been received by the Administrator.
- (ix) I/We hereby agree that I/we shall be liable to the ICAV for, and shall indemnify it against, any loss, cost, expense or fees incurred by it or the relevant Fund arising out of such non-receipt or non-clearance of subscription monies and

that the ICAV will have the right to sell all or part of my/our existing holding of Shares in the relevant Class or any other Class or Fund (if any) in order to meet any losses, costs, expenses or fees incurred by the ICAV or the relevant Fund arising out of such non-receipt or non-clearance of subscription monies.

- (x) I/We, having received and considered a copy of the Prospectus, hereby confirm that this application is based solely on the Prospectus together (where applicable) with the most recent annual report and accounts of the ICAV and (if issued after such report and accounts) its most recent unaudited semi-annual report.
- (xi) I/We hereby represent that I/we have regular access to the internet. I/We acknowledge that I/we have been offered the choice of receiving the Prospectus, KIID and Annual/Semi-Annual Reports on paper or in electronic form by means of a website and I/we hereby specifically consent to receiving the Prospectus, KIID and Annual/Semi-Annual Reports in electronic form by way of accessing the latest version of the document online at www.dspim.com/international (or such other website address as may be notified to us from time to time). The Prospectus, KIID and Annual/ Semi-Annual Reports will be available in the Funds section on www.dspim.com/international and I/we hereby confirm that I/we have also been notified electronically of this website address and the place where on the website the Prospectus, KIID and Annual/Semi-Annual Reports can be accessed. I/We hereby acknowledge that I/we have received or accessed by electronic means the Prospectus, KIID and Annual/Semi-Annual Reports. I/ We also consent to accessing the Prospectus, KIID and Annual/Semi-Annual Reports by electronic means before making any subsequent and/or future subscriptions for Shares in any share class and/or Fund.

NOTE - By signing this application, investors confirm that they have fully read and understood the KIID.

- (xii) I/We, apply to be entered in the Register of the Shareholders as the holder/holders of the Shares issued in relation to this application.
- (xiii) I/We, acknowledge that due to money laundering requirements operating within Ireland, the Administrator, the Manager and/or the ICAV may require information and documentation pursuant to anti-money laundering requirements and any other legal or regulatory requirement before the application can be processed and the ICAV, the Manager and/or the Administrator shall be held harmless and indemnified against any loss ensuing due to the failure to process this application, if such information as has been required by the parties hereto has not been provided by me/us.
- (xiv) I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require verification of my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner³ on a risk sensitive basis and the ongoing monitoring of my/our business relationship with the ICAV. I/We further acknowledge that the Administrator reserves the right not to issue Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner. I/We acknowledge that the Administrator shall be indemnified and held harmless by me/us against any loss arising as a result of a failure to process my/our application for Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us.
- (xv) I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from the applicant any such other or additional documentation from that outlined below when it deems it appropriate to do so to enable the Administrator to determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering and terrorist financing verification status on a risk sensitive basis and the applicant shall provide to the Administrator from time to time such information as may reasonably be requested. Each person acquiring Shares in a fund must satisfy the foregoing both at the time of initial subscription and at all times thereafter until such person cease to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing and / or below information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.
- (xvi) I/We acknowledge that I/we must disclose to the ICAV and Administrator, both at the time of initial subscription into a Fund of the ICAV and upon any change thereafter, any Shareholder or person or entity or beneficial owner³ that

is or is acting, directly or indirectly for the Shareholder who is a politically exposed persons (“PEP”)⁴, and immediate family members⁵, and close associates⁶ of such persons.

- (xvii) I/We acknowledge that the ICAV or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a Shareholder if any of the Directors of the ICAV or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the ICAV, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.
- (xviii) I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in delay of account opening and processing of my/our subscription application.
- (xix) I/We acknowledge that any failure to provide complete identification and verification documentation upon request

³ A beneficial owner means any individual who ultimately owns or controls at least 25% of the Shareholder or otherwise exercises control over the management of the Shareholder.

⁴ A PEP is defined as an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

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

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

- (a) a head of state, head of government, government minister or deputy or assistant government minister;
- (b) a member of a parliament or a similar legislative body;
- (bb) a member of the governing body of a political party;
- (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- (d) a member of a court of auditors or of the board of a central bank;
- (e) an ambassador, chargé d'affaires or high-ranking officer in the armed forces.
- (f) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation

⁵ An “immediate family member” of a politically exposed person includes any of the following persons:

- (a) any spouse of the politically exposed person;
- (b) any person who is considered to be equivalent to equivalents a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides;
- (c) any child of the politically exposed person;
- (d) any spouse of a child of the of the politically exposed person;
- (e) any person considered to be equivalent to equivalents a spouse of a child of the of the politically exposed person under the national or other law of the of the place where the person or child resides;
- (f) any parent of the politically exposed person;
- (g) any other family member of the politically exposed person who is of a prescribed class;

⁶ A “close associate” of a PEP includes any of the following persons:

- (a) any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the politically exposed person;
- (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the politically exposed person;

at any other stage during the course of the business relationship will result in my/our account being blocked for further subscriptions, transfers, conversions, redemption payments and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor.

(xx) I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.

(xxi) I/We acknowledge and confirm that my/our investment does not and will not constitute funds derived from India, from sources within India or from persons resident in India as defined under India's Foreign Exchange Management Act, 1999 and the Income-Tax Act, 1961 ("**Person Resident In India**"). I/we also represent that I/we are not a Person Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that I/we become a Person Resident in India or apply for Indian residency or raise funds from Indian residents and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct including redemption of Shares. Unless permitted by the India's Foreign Exchange Management Act, 1999 and the Income-Tax Act, 1961, I/we represent that I/we will dispose of the interests in the ICAV in consultation with the ICAV and the Investment Manager, prior to me/us taking up residence in India or applying for or otherwise acquiring Indian nationality, should I/we take such step.

(xxii) I/We represent that where I/we act as an intermediary on behalf of one or more underlying investors, who are natural persons, the underlying investors are not Persons Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that the underlying investors become Persons Resident in India or apply for Indian residency and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct and which may include compulsory redemption of Shares in a Fund. I/we also represent that where I/we act as an intermediary for an underlying investor other than a natural person which also acts as an intermediary for indirect investors, such indirect investors are not Persons Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that the indirect investors become Person Resident in India or apply for Indian residency and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct and which may include compulsory redemption of Shares in a Fund.

(xxiii) I/We hereby agree and undertake that where I / we hold:

- (a) 25% or more ownership of the Shares of a Fund, either directly or indirectly as (i) the beneficial owner of an investor investing in a Fund on its own behalf or (ii) the beneficial owner of an intermediary investor investing in a Fund on behalf of one or more underlying investors (including direct / indirect holding through single or multiple entities); or
- (b) 25% or more ownership of a Fund by control, through means such as voting rights, agreements, arrangements etc., either directly or indirectly as (i) the beneficial owner of an investor investing in a Fund on its own behalf or (ii) the beneficial owner of an intermediary investor investing in a Fund on behalf of one or more underlying investors;

that I/we will make available such additional information that the ICAV, the Manager and/or the Administrator may require upon request, for example, the name of the beneficial owner, whether the holding is a direct/indirect stake, names of the entity/ies through which the stake in the Fund is held indirectly, method of control, whether the holding is held by an individual or a non-individual etc.

(xxiv) I/We agree and undertake to notify the ICAV, Manager and Administrator where I/we or any of my/our beneficial owners are or become:

- i. a "non-resident Indian", as defined under Rule 2 of the Foreign Exchange Management (Non-debt Instruments) Rules, 2019 ('**NDI Rules**') ("**NRI**"); or
- ii. an "overseas citizen of India", as defined under Rule 2 of the NDI Rules ("**OCI**"); or
- iii. directly or indirectly owned or controlled by an NRI or OCI; or

- iv. controlled by an investment manager that is controlled by an NRI / OCI.

I/We acknowledge and that I/we may need to provide such further information in this regard as the ICAV, Manager and/or Administrator may require.

- (xxv) I/We agree and undertake that in the event that I/we constitute(s) a NRI or an OCI, and in the event that I/we hold 25% or more of the Net Asset Value of a Fund, or in the event that that I/we hold in aggregate 50% or more of the Net Asset Value of a Fund together with other NRIs or OCIs, that I/we may be required to reduce my/our shareholding in a Fund or to redeem Shares in a Fund and to provide such further information to the ICAV, Manager and/or Administrator as may be required.

- (xxvi) I/We acknowledge that any notice or document (including communications and reports) may be served by or on behalf of the ICAV on me/us in the manner specified from time to time in the Prospectus or in the ICAV's Instrument of Incorporation and for the purposes of the Electronic Commerce Act 2000, consent to any such notice or document being sent to me/us electronically to the email address which has been provided to the ICAV, the Administrator or its delegate in completing this share application form or otherwise which I/we acknowledges constitutes effective receipt by me/us of the relevant notice or document.

I/ We acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications electronically by notifying the ICAV and the Administrator in writing at the above address provided that my/our agreement to receive communications electronically shall remain in full force and effect pending receipt by the Administrator of written notice of such revocation. I/we undertake to keep the ICAV and the Administrator informed of any change to such email address.

- (xxvii) In the event that I/we subject to prior written agreement with the Administrator decide to send subsequent applications, redemptions and instructions electronically:

1. I/We acknowledge that electronic communications whether by email, swift or otherwise are an unsafe method of communication and emails and swift messages may be lost, subject to delays, interference by third parties, viruses and their confidentiality, security and integrity cannot be guaranteed. Further, I/we acknowledge that electronic communications cannot be guaranteed to be error-free.
2. I/We hereby confirm that I/we will not hold the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary or any of their directors, officers, employees or agents liable now or at any time for any loss, damage, financial or otherwise which I/we may suffer as a result of any interception or breach of confidentiality or integrity or as a result of any delays, inaccuracy, imperfection, lack of quality, ineffective transmission, viruses, alteration or distortion howsoever arising affecting such electronic communication.
3. I/We undertake to keep each of the ICAV, the Investment Manager, the Administrator and the Depositary indemnified at all times against, and to save each of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against any of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary or suffered or incurred by any of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary and which shall have arisen either directly or indirectly out of or in connection with me /us sending electronic communications.
4. We confirm that we, shall not send or transmit or arrange for any sending or transmitting on our behalf, any electronic communication which contains a virus or other media damaging to your property or computer systems or which may be defamatory, libellous, slanderous, obscene, abusive, offensive, menacing or immoral and will abide with all relevant laws and regulations and international conventions or treaties governing the content of and the transmission of such electronic communications.
5. The ICAV, the Manager, the Investment Manager, the Administrator and the Depositary may rely

conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction, electronic instructions, electronic subscriptions and redemptions or other instrument believed, in good faith, to be genuine.

(xxviii) If you wish to receive your Contract Notes and Statements via email, please tick this box.

Upon receipt of this form, the Administrator will update the email address for receipt of email documentation.

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

(xxix) I/We understand and agree that the ICAV prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organisations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time or named on the list of prohibited countries, territories, entities and individuals in the Official Journal of the European Communities, or (iii), for a shell bank⁷ (such persons or entities in (i) - (iii) are collectively referred to as "**Prohibited Persons**").

(xxx) I/We understand and agree that the ICAV further prohibits the investment of funds by any PEP and immediate family members, and close associates of such persons, unless the ICAV, in conjunction with the Administrator, after being specifically notified by me/us in writing that I/we am/are such a person, conducts further due diligence, and determines that such investment shall be permitted.

(xxxi) I/We represent, warrant and covenant that: (i) I/we am/are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners, (a) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (b) based on

⁷ "Shell bank" means a credit institution or financial institution (or a body corporate that is engaged in activities equivalent to those of a credit institution or financial institution) that—

- (a) does not have a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated,
- (b) is not authorised to operate, and is not subject to supervision, as a credit institution or as a financial institution (or equivalent) in the jurisdiction in which it is incorporated, and
- (c) is not affiliated with another body corporate that—(i) has a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated, and (ii) is authorised to operate, and is subject to supervision, as a credit institution, a financial institution or an insurance undertaking, in the jurisdiction in which it is incorporated.

such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (c) I/we hold the evidence of such identities and status and will maintain all such evidence for at least five years from the date of my/our complete redemption from the ICAV, and (d) I/we will make available such information and any additional information that the ICAV may require upon request.

- (xxxii) If any of the foregoing representations, warranties or covenants ceases to be true or if the ICAV no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the ICAV may be obligated to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the ICAV, and the ICAV may also be required to report such action and to disclose my/our identity to OFAC or other authority. In the event that the ICAV is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the ICAV, the Manager, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.
- (xxxiii) I/We understand and agree that any redemption proceeds paid to me/us will only be paid to the account of record. Furthermore, I/we understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.
- (xxxiv) I/We agree to indemnify and hold harmless the ICAV, the Manager, Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section.
- (xxxv) The investor acknowledges that the Directors have power under the Instrument of Incorporation to compulsorily redeem and/or cancel any Shares held or beneficially owned by an investor in contravention of any restrictions imposed by them or in breach of any law or regulation. I/we acknowledge that where an investor fails to pay subscription proceeds within the relevant settlement period the ICAV may charge the investor for any loss to the Fund arising out of such non-receipt or non-clearance. I/we acknowledge that in circumstances where an investor fails to pay subscription proceeds within the relevant settlement period, there is a risk that the Fund may not be able to recover such costs from such investor and such loss and any relevant credit charges may have to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the Net Asset Value per Share for existing Shareholders of the relevant Fund.

I/We acknowledge that the Directors may compulsorily redeem any Shares which are held by a Shareholder who fails to supply any information required to verify the identity of a Shareholder or any beneficial owner of such Shareholder or source of subscription monies within such time frame as may be requested by the Directors in writing.

I/We acknowledge that the ICAV and its delegates shall be held harmless against any loss arising as a result of a failure to process or a delay in processing his application for Shares or redemption request if such information and documentation as has been requested by the ICAV or its delegates has not been provided by the applicant.

- (xxxvi) I/We acknowledge that the ICAV operates a cash account in its name into which (i) subscription monies received from investors who have subscribed for Shares are deposited and held until Shares are issued as of the relevant Dealing Day; and (ii) redemption monies due to investors who have redeemed Shares are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shareholders are deposited and held until paid to such Shareholders (hereinafter referred to as the **"Umbrella Cash Account"**). We acknowledge that all subscriptions, redemptions and dividends payable to or from a Fund are channelled and managed through the Umbrella Cash Account.

I/We acknowledge that my/our subscription monies/ redemption monies / dividend monies will be paid into the Umbrella Cash Account, that such monies will be treated as an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the monies will not be held on trust as investor

monies for me/us) and that I/we will be an unsecured creditor of the relevant Fund (i) with respect to the amount subscribed for Shares and held in the Umbrella Cash Account until such Shares are issued to me/us as of the relevant Dealing Day or (ii) with respect to the redemption/dividend amount to be paid and held in the Umbrella Cash Account until such amount is paid to me/us (whichever is applicable).

I/We acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the “**AML Requirements**”), redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by the ICAV or its delegate as required under the AML Requirements, redemption monies or dividend monies will be held in the Umbrella Cash Account and shall remain an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditors of the relevant Fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the ICAV has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

I/We acknowledge that the following risks arise in relation to the operation of the Umbrella Cash Account:-

- a) in the event that subscription monies received and held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor as of the relevant Dealing Day, the ICAV on behalf of the Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per share for existing Shareholders of the relevant Fund;
- b) in the event that redemption or dividend monies held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to payment to the relevant investor/ Shareholder, the ICAV on behalf of the Fund may be obliged to make good any losses suffered by the investor/ Shareholder (in its capacity as a general creditor of the Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant Fund;
- c) in the event of an insolvency of the relevant Fund or the ICAV, there is no guarantee that the Fund or the ICAV will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a dealing day and which are held in the Umbrella Cash Account and investors / Shareholders due redemption / dividend monies which are held in the Umbrella Cash Account will rank equally with all other unsecured creditors of the relevant Fund and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors by the insolvency practitioner. Therefore, in such circumstances, the investor subscribing for Shares may not recover all monies originally paid into the Umbrella Cash Account in relation to the application for Shares and the redeeming investor entitled to redemption monies and the Shareholder entitled to a dividend payment may not recover all monies originally paid into the Umbrella Cash Account for onward transmission to that investor/Shareholder;
- d) in addition, investors should note that in the event of the insolvency of another Fund of the ICAV, recovery of any amounts to which a relevant Fund is entitled, but which may have been used by such other insolvent Fund as a result of the operation of the Umbrella Cash Account will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Account. There may be delays in effecting and/or disputes as to the recovery of such amounts, and the insolvent Fund may have insufficient funds to repay the amounts due to the relevant Fund.

In the event that Shares are allotted / issued notwithstanding that cleared funds have not been received within the usual time limits by the Fund as set out in the Prospectus, I/we acknowledge that the Fund may cancel the allotment / issue of my / our Shares and I/we will be liable to pay to the Fund interest at such rate as may be determined by the Directors from time to time and/or other losses, charges or expenses suffered or incurred by the ICAV, the Manager, the Depositary or their delegates as a result of late payment or non- payment by me/us of subscription monies.

(Select and complete this section as appropriate)

(xxxvii) FINANCIAL INTERMEDIARIES

Please confirm one of the following by ticking the appropriate box below:

- We are investing in our own name on behalf of our clients on a full discretion basis.
- We are investing in our own name on an execution only basis.

Please confirm one of the following by ticking the appropriate box below:

- We are an entity / nominee that is acting as an intermediary on behalf of one or more of our underlying clients (a "**Financial Intermediary**") and we are subject to AML/CFT obligations in an EEA jurisdiction or in a third country that has AML/CFT requirements that are not less robust than those required by Directive (EU) 2015/849 and we are effectively supervised for compliance with these requirements; or
- We are an unregulated Financial Intermediary with a regulated parent company that is subject to AML/CFT obligations in an EEA jurisdiction or in a third country that has AML/CFT requirements that are not less robust than those required by Directive (EU) 2015/849 and our parent company is effectively supervised for compliance with those requirements.

We acknowledge that we may be required to provide the Administrator with a letter of assurance in connection with these matters in a form acceptable to the Administrator.

(xxxviii) INDIVIDUAL INVESTORS

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

Please supply the following:

- (a) Certified** copy of your passport, national identity card or ID issued by a Government body showing the photograph and signature;
- (b) One form of address verification: for example, original or certified** copy of a recent utility bill or bank statement (no more than 6 months old); and
- (c) Confirmation of source of funds and source of wealth for PEPs, noting the definitions and requirements detailed in paragraph (xvi) above.

(xxxix) JOINT ACCOUNT HOLDERS

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

(xl) PRIVATE / NON REGULATED CORPORATE APPLICANTS ONLY

We hereby declare that the corporation was duly registered on(date) under the laws of (country) and that it is not a financial intermediary.

Please supply the following:

- Certified** copy of Certificate of Incorporation (or equivalent); and or
- Certified** copy of Memorandum and Articles of Association (or equivalent document showing registered corporate office); and or
- Certified** copy of latest audited financial statements;
- Certified** copy of the corporation or entity's list of authorised signatories;
- List of all directors' names, occupations, residential and business addresses and dates of birth;
- Details of beneficiaries who own more than 25% of the share capital or voting rights through direct or indirect ownership or control (including through bearer shareholdings).

List of Directors & Beneficial Owners

<u>Full Name & Address</u>	<u>Position (e.g. beneficialowner, Director)</u>	<u>Citizenship (for Individuals) or Principal Place of Business (for Entities)</u>

- Identification as per individual investor above for two directors or one director and one signatory;

(xli) PARTNERSHIP APPLICATIONS

Please supply the following:

- List of names, date of birth, occupation and permanent addresses of all partners/trustees/beneficiaries where ascertainable/settlers;
- Identification as per individual investor above for two Trustees or one Trustee and one authorised signatory / General Partner or two partners and one authorised signatory;
- Details of beneficiaries who own more than 25% of the share capital or voting rights through direct or indirect entitlement or control;
- Evidence of the above partners'/trustees' authority to make investments in the ICAV on behalf of the partnership/trust;
- Certified** authorised signatory list; and
- Certified** copy of partnership agreement/trust deed.

(xlii) TRUST APPLICATIONS

- List of names, date of birth, occupation and permanent addresses of all /trustees/beneficiaries where ascertainable/settlers and protectors;
- Details of all Trustees;
- Details of all beneficiaries who may be entitled to benefit from the Trust;
- Details of all individuals who have control over the Trust, i.e. any and all Trustees, Controllers, Protectors and/or Settlers to the appropriate standard (e.g. Individual, Company, etc.);
- Evidence of the above partners'/trustees' authority to make investments in the ICAV on behalf of the partnership/trust;
- Certified** authorised signatory list; and

➤ Certified** copy of Trust Deed.

<u>Full Name & Address</u>	<u>Position (e.g. Partner / Beneficiary / Trustee / Settlor)</u>	Citizenship (for Individuals) or PrincipalPlace of <u>Business (for Entities)</u>

(xliii) **INSTITUTIONAL LISTED COMPANIES ON RECOGNISED STOCK EXCHANGE, REGULATED ENTITIES APPLICANTS ONLY**

E.g. pension fund or local authority, please supply the following:

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

**Certified copies may be required for applicants as part of the risk assessment carried out by the Administrator. All certified copies should be certified by a notary public, solicitor, chartered & certified public accountants, practicing solicitors, embassy consular staff, police officer or FATF regulated financial institution or any person so authorised under the laws of your country or domicile (except the authorised signatories list may be certified by the company secretary). Copies must be marked “true copy of original document” and stamped by the certifying party.

(xlv) I/We, hereby acknowledge that by signing and submitting this Application Form, I/We will by applying irrevocably for Shares in the ICAV all subject to the terms of the Prospectus (which I/we have read in full and understood) and the Instrument of Incorporation of the ICAV.

(xlv) I/We, warrant that (1) I/we am/are not, and the Shares applied for will not be held for the benefit of a US person (as defined in Regulation S under the United States Securities Act of 1933, as amended) and (2) I/we will fall within the

category of persons described in Article 11(3) of the United Kingdom Financial Services Act 1986 (Investment Advertisements) (Exemptions) Order 1996 or (3) I/We am/are a person who may otherwise lawfully subscribe for Shares in the ICAV.

- (xlvi) In accordance with the provisions of the Data Protection Legislation, I/we are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the ICAV, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "**Personal Data**"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Fund as a "data controller" under the Data Protection Legislation, and as further described in the ICAV's Data Privacy Statement, which is set out in Appendix III hereto and otherwise available upon request.
- (xlvii) I/We agree that the Administrator may process personal data relating to me/us for the purposes of providing services to the ICAV, performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the ICAV and to third parties and transferring them internationally.
- (xlviii) I/We acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.
- (xlvix) Furthermore, I/We hereby acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by (i) the OECD's Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard"), which therein contains the Common Reporting Standard, as applied in Ireland by means of the relevant international legal framework and Irish tax legislation and (ii) EU Council Directive 2014/107/EU, amending Directive 2011/16/EU as regards mandatory automatic exchange information in the field of taxation ("DAC2"), as applied in Ireland by means of the relevant Irish tax legislation, so as to ensure compliance or deemed compliance (as the case may be) with the Standard/CRS and the DAC2 from 1 January 2016 (hereafter collectively referred to as "CRS").
- (l) In order for the ICAV to comply with the above FATCA and CRS obligations, I/We agree to provide to the ICAV, the Manager, the Investment Manager and the Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the ICAV, the Manager, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the ICAV, the Manager, the Investment Manager and the Administrator may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the ICAV, the Investment Manager and the Administrator. If relevant, I/we agree to notify the ICAV, the Manager, the Investment Manager, the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the ICAV, the Manager, the Investment Manager and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company, the Manager, the Investment Manager and the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Manager, the Investment Manager or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the ICAV, and that the ICAV and the Depositary are authorized to hold back from redemption

proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the ICAV and the Depositary against any loss suffered by them or other Shareholders in the ICAV in connection with any obligation or liability to so deduct, withhold or account.

(ii) I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the ICAV's compliance with FATCA and CRS requirements.

(lii) I/We hereby acknowledge that I/we should consult my/our own tax advisers about the applicability of FATCA, CRS and any other reporting requirements with respect to my/our own situation.

(liii) I/We confirm that we have accurately and correctly completed the relevant self-certification form included at Appendix I and Appendix II. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the ICAV, the Investment Manager and/or the Administrator immediately of any such change and agree to immediately take such action as the ICAV, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.

(liv) **Due Diligence Documentation: Associated parties – Ultimate Beneficial Owner & Associated Parties:**

- Director/Governor/Trustee/Official/Board Members/Partners/Members or equivalent who exercise control over the management of the entity.

Please supply the following:

- Name _____
- Address _____
- Nationality _____
- Date of Birth _____

- Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity.

Please supply the following:

- Name _____
- Address _____
- % Ownership _____
- Nationality _____
- Date of Birth _____

I/We declare that the information contained in this form and the attached documentation, if any, is true and accurate to the best of my/our knowledge and belief.

Signature _____

Print Name _____

Date _____

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

16. DECLARATION OF RESIDENCE OUTSIDE IRELAND (*non-resident composite declaration*)

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares/units. Terms used in this declaration are defined in the Prospectus. Please select the appropriate declaration from the two options below.

Declaration on own behalf

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

- I am/we are/the company is* not currently resident or ordinarily resident in Ireland, and
- should I/we/the company* become resident in Ireland I will/we will* so inform you, in writing, accordingly.

*Delete as appropriate

Declaration as Intermediary

I/we* declare that I am/we are* applying for shares/units on behalf of persons:

- who will be beneficially entitled to the shares/units; and,
- who, to the best of my/our* knowledge and belief, are neither resident nor ordinarily resident in Ireland.

I/we* also declare that:

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

*Delete as appropriate

Name and address of applicant: _____

Signature of applicant or authorised signatory: _____ (declarant)

Capacity of authorised signatory (if applicable): _____ Date: _____

Joint applicants:

Names _____ Signatures _____

see notes below

IMPORTANT NOTES

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. The application form including the non-resident declaration may also therefore be disclosed to the Irish Revenue Commissioners.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a certified copy of the power of attorney must be furnished in support of the signature.
4. If the applicant is an Exempt Irish Investor (as defined in the Prospectus) it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.

APPENDIX I

Entity Self-Certification for FATCA and CRS

Instructions for completion and data protection notice.

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the 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 and guidance on FATCA or CRS, please refer to the Irish Revenue or the OECD website at: <http://www.revenue.ie/en/business/aeoi/index.html> or <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

(Mandatory fields are marked with an *)

***Section 1: Account holder Identification**

***Account Holder Name:** _____ (the "Entity")

***Country of Incorporation or Organisation:** _____

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

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/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)

□□□□□□.□□□□□□.□□.□□□□

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

I.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN:</p> <p>Sponsor's Name: _____</p> <p>Sponsor's GIIN: □□□□□□.□□□□□□.□□.□□□□</p> <p>NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</p>	□
II.	<p>The Entity is an Exempt Beneficial Owner</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>	□
III.	<p>The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</p> <p>Indicate exemption: _____</p>	□
IV.	<p>The Entity is a Non-Participating Foreign Financial Institution</p>	□
V.	<p>The Entity is an Excepted Foreign Financial Institution</p> <p>Indicate exemption: _____</p>	□
VI.	<p>The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN</p> <p>Trustee's Name: _____</p> <p>Trustee's GIIN: □□□□□□.□□□□□□.□□.□□□□</p>	□

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

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

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

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

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

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

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

∞If a TIN is unavailable, please 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*)

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)

Section 5: Entity's CRS Classification

(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition, please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information, please see the OECD CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard>.

5.1 Financial Institutions under CRS:

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

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland. <https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>.

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

III.	<p>Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below:</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.</p> <p>Specify the type provided in the domestic law:</p> <p>_____</p>	<input type="checkbox"/>
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5.2 Non-Financial Institutions (“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.	<p>Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market.</p> <p>Please provide the name of the established securities market on which the corporation is regularly traded:</p> <p>_____</p>	<input type="checkbox"/>
II.	<p>Active Non-Financial Entity – if you are a Related Entity of a regularly traded corporation.</p> <p>Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:</p> <p>_____</p> <p>Please provide details of the securities market on which the Entity is regularly traded;</p>	<input type="checkbox"/>
III.	<p>Active Non-Financial Entity – a Government Entity or Central Bank</p>	<input type="checkbox"/>
IV.	<p>Active Non-Financial Entity – an International Organisation</p> <p>_____</p>	<input type="checkbox"/>
V.	<p>Active Non-Financial Entity – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)</p>	<input type="checkbox"/>

VI.	Passive Non-Financial Entity - If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate “Individual (including Controlling Person’s Self-Certification for FATCA and CRS form” as indicated in section 6.2 for each Controlling Person(s))	<input type="checkbox"/>
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Section 6: Controlling Persons

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

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

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

6.1 Controlling Person(s) of the Account Holder:

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

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

I.	
II.	
III.	

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

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

***Section 7: Declarations and Undertakings**

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

I/We acknowledge and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account

Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

***Authorised Signature(s):**

***Print Name(s):**

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

***Date: (dd/mm/yyyy):** _____

APPENDIX II

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

Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. 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 may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aeoi/index.html> / <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

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

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

(Mandatory fields are marked with an *)

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

***Account Holder / Controlling Person Name:** _____

***Current Residential Address:**

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

***Place and Date of Birth**

*Town or City of Birth: _____ *Country of Birth: _____

*Date of Birth: _____

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

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

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

OR

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

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

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

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

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

If a TIN is unavailable, please 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 Person(s) please complete a separate “Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	Please tick	Entity Name
Controlling Person of a legal person – control by ownership		
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 -<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>.

*Authorised Signature: _____

*Print Name: _____

*Date: (dd/mm/yyyy): _____

*Capacity (if Controlling Person): _____

APPENDIX III

DATA PRIVACY STATEMENT

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Irish Data Protection Act 2018) (collectively, “**Data Protection Legislation**”), the ICAV being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the ICAV will be processed by the ICAV, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the ICAV acting as a data controller may itself (or through third parties including but not limited to HSBC Continental Europe (the “**Administrator**”), KBA Consulting Management Limited (the “**Manager**”) and together with any sub-distributors that may be appointed from time to time (collectively the “**Distributor**”), local paying agents and mailing firms appointed by any of the foregoing (together the “**Service Providers**”)) process your personal information or that of your directors, officers, employees, intermediaries and/or beneficial owners. In this regard, please note the following:

Purposes of Processing and Legal Basis for Processing

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

Processing Activity by or on behalf of the ICAV	Legal Basis for Processing
Opening your account with the ICAV and managing and administering your holdings in the ICAV and any related account on an ongoing basis	Performance of the contract between the ICAV and you
Disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the ICAV;	Performance of the contract between the ICAV and you.
Disclosures to the Securities and Exchange Board of India (“SEBI”) or any third party licensed by SEBI to receive such data (including inter alia the designated depository in India and/or any Indian KYC Registration Agent) in order that a Fund may invest in Indian securities in accordance with the conditions of a foreign portfolio investor (“FPI”) approval granted to that Fund by SEBI and disclosures to the Central Board of Direct Taxes of the Indian Government Ministry of Finance (“CBDT”) in accordance with the conditions of any approval granted by the CBDT to a Fund pursuant to Section 9A of the Income Tax Act 1961 of India permitting that Fund to be managed on a discretionary basis by an Indian investment manager without the Fund being deemed to have a business connection in India, thereby facilitating the appointment of the Indian investment manager as disclosed in the Prospectus or relevant Fund supplement relating to that Fund.	Performance of the contract between the ICAV and you.
Disclosure to the designated depository in India in order for it to provide custody services to the ICAV relating to Indian	Performance of the contract between the ICAV and you.

Processing Activity by or on behalf of the ICAV	Legal Basis for Processing
investments of a Fund (which may involve disclosure by the designated depository of such information to market regulators in India, and / or the auditors and / or professional advisors of the designated depository, to the extent required by them to meet their obligations under applicable laws and regulations).	
Complying with any applicable legal, tax or regulatory obligations imposed on the ICAV including legal obligations under ICAV law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation.	Compliance with a legal obligation to which the ICAV is subject

Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the ICAV and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.

Profiling and Screening

The ICAV and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“EU”), the United Nations (“UN”), Her Majesty’s Treasury (“HMT”) and the Office of Foreign Assets Control (“OFAC”) for the purposes of complying with anti- money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes. The implementation of such PEP and financial sanctions screening programmes may result in the ICAV or its Service Providers refusing an application for Shares in the ICAV 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. 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 ICAV or its Service Providers.

Undertaking in connection with other parties

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

Disclosures to Service Providers and / or Third Parties

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the ICAV and its or their duly appointed agents and any of related, associated or affiliated companies within any Service Provider group(s) for the purposes specified above. These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The ICAV may disclose your personal data to other third parties where required by law or for legitimate

business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities and technology providers.

Transfers Abroad

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

Where a transfer of personal data outside of the EEA takes place, the ICAV is obliged to ensure in advance of such transfer that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data (as detailed in Articles 45, 46 and 47 of GDPR), for example the implementation of binding corporate rules between companies within any Service Provider group(s) and/or ensuring the implementation of model contracts by the Service Providers and their affiliates.

In the absence of such safeguards, the ICAV is only permitted to transfer such data pursuant to certain derogations in accordance with Article 49 of GDPR, for example where a data transfer to a non-EEA country is necessary for the performance of the contract between the data controller and the data subject provided the transfer of data is occasional. In this context, it may be necessary for certain personal data to be transferred by the Administrator acting on behalf of the ICAV to:

- (i) the Securities and Exchange Board of India (“SEBI”) or any third party licensed by SEBI to receive such data (including *inter alia* the designated depository in India and/or any Indian KYC Registration Agent) in order that a Fund may invest in Indian securities in accordance with the conditions of a foreign portfolio investor (“FPI”) approval granted to that Fund by SEBI;
- (ii) the designated depository in India in order that it can provide custody services to the ICAV relating to Indian investments of a Fund (which may involve disclosure by the designated depository of such information to market regulators in India, and / or the auditors and / or professional advisors of the designated depository, to the extent required by them to meet their obligations under applicable laws and regulations); and
- (iii) the Central Board of Direct Taxes of the Indian Government Ministry of Finance (“CBDT”) in accordance with the conditions of any approval granted by the CBDT to a Fund pursuant to Section 9A of the Income Tax Act 1961 of India permitting a Fund to be managed on a discretionary basis by an Indian investment manager without the Fund being deemed to have a business connection in India thereby facilitating the appointment of the Indian investment manager as disclosed in the Prospectus or Fund supplement relating to that Fund.

Data Retention Period

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

Your data protection rights

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

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the ICAV infringes the GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).
- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.
- (vii) You also have the right to object to processing where personal data is being processed for direct marketing purposes and also where the ICAV is processing personal data for legitimate interests.

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

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

Failure to provide personal data

As outlined in the section titled "**Purposes of Processing and Legal Basis for Processing**", the provision of personal data by you is required for us to manage and administer your holdings in the ICAV and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, 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 ICAV.

Contact us

If you have any questions about our use of your personal information, please contact the Administrator at the following email address/using the following contact telephone number:

Telephone: + 353 1 635 6935
Email Queries: DSP_ICAV_TA@HSBC.COM

APPENDIX IV

Meaning of Regulated Investor

A regulated investor means one of the following:

- 1) Government or
- 2) Central bank or
- 3) Sovereign fund or
- 4) Multilateral agency or
- 5) an appropriately regulated investor* in the form of pension fund or University fund or a bank or collective investment vehicles such as mutual funds

**An investor shall be considered to be appropriately regulated if it is regulated or supervised by the securities market regulator or the banking regulator of the country outside India of which it is resident, in the same capacity in which it has made investment in the fund.*

DSP GLOBAL FUNDS ICAV

an open-ended umbrella type Irish collective asset-management vehicle with limited liability and segregated liability between sub-funds (the "ICAV")

Additional Subscription / Application Form

Please complete this form in blue or black ink using BLOCK CAPITALS.

Subsequent applications may be made by facsimile.

Please return to:

The Administrator:
HSBC Continental Europe , 38, avenue Kléber - 75116 Paris
Phone: + 353 1 635 6935
Fax: +353 1 649 7560
Query Email: dsp_icav_ta@hsbc.com

Agent Code: _____

Sub-Agent Code: _____

Shareholders name: _____

Acct ID: _____

I/We hereby apply to purchase Shares in:

DSP India Equity Fund

Class of Shares	Currency	Amount
Class A USD Unhedged	USD	
Class A EUR Unhedged	Euro	
Class B USD Unhedged	USD	
Class B EUR Unhedged	Euro	
Seed Class USD Unhedged **	USD	
Founder Class USD Unhedged ***	USD	

DSP India Bond Fund

Class of Shares	Currency	Amount
Class A USD Unhedged	USD	
Class A EUR Unhedged	Euro	
Class B USD Unhedged	USD	
Class B EUR Unhedged	Euro	
Seed Class USD Unhedged **	USD	

Founder Class USD Unhedged ***	USD	
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The above sum shall be paid by telegraphic transfer, and I/We agree to be bound by the Instrument of Incorporation of the ICAV and its material contracts, as set out in the Prospectus.

* (fill appropriate sub-fund and share class)

** The Seed Class is a founders share class and will be open for subscriptions until the Class reaches US\$50 million in net assets or such other period as may be determined by the Directors.

***The Founders Class is a founders share class and will be open for subscriptions until the Class reaches US\$50 million in net assets or such other period as may be determined by the Directors.

Note: Minimum initial subscription amounts, minimum holding amounts and other information in relation to each class are detailed in the relevant supplement to the Prospectus.

A REQUEST TO CHANGE BANK ACCOUNT DETAILS MUST BE MADE IN WRITING TO THE ADMINSTRATOR AND MUST BE ACCOMPANIED BY A BANK STATEMENT OR BANKER'S REFERENCE.

PLEASE NOTE:

- Monies must originate from the account of the investor.
- Failure to complete these details accurately and in accordance with the original signed Application Form and forward monies within the relevant settlement time scale may result in the loss of good value and an interest claim from the ICAV.
- I/We confirm that I/we have the authority to make this investment.
- I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document ("KIID") has been supplied to me/us in good time prior to making the application for shares in the ICAV. I/We confirm that I/We have read the KIID and reviewed and understood the nature and the risks of the investment products that are being offered to me/us, and that any future investments to any other sub-fund of the ICAV ("Fund") or share class of the ICAV ("Share Class") can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at www.dspim.com/international and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for shares in the ICAV.
- I/We hereby agree that none of the ICAV, the Manager, the Investment Manager, the Administrator or the Depositary or any of their respective directors, officers, employees or agents will be responsible or liable for the authenticity of instructions from me/us reasonably believed to be genuine and shall not be liable for any losses, costs or expenses arising out of or in conjunction with any unauthorised or fraudulent instructions.

Authorised Signatories

Print Name

Signatory 1	
Signatory 2	
Signatory 3	
Signatory 4	

Date _____

REDEMPTION FORM

DSP GLOBAL FUNDS ICAV (THE "ICAV")

Date: _____

DSP Global Funds ICAV
c/o

HSBC Continental Europe 1
38, avenue Kléber
75116 Paris,
France

Facsimile: +353 1 649 7560

Telephone: + 353 1 635 6935

Query Email: dsp_icav_ta@hsbc.com

*Note: Requests to redeem should be made to the ICAV care of the Administrator by facsimile. For the avoidance of doubt, redemption requests initially sent by facsimile may only be processed where payment is made to the account of record and the original signed subscription form has been received.

Agent Code: _____

Sub-Agent Code: _____

Shareholders Name: _____

Acct ID: _____

Fund	Share Class	Number of Shares to be redeemed (Please fill anyone either Shares or Amount)	Amount of Shares to be redeemed (Please fill anyone either Shares or Amount)
DSP India Equity Fund			
DSP India Bond Fund			

Redemptions will not be processed on non-cleared/verified accounts.

Signature: _____

Note: Redemption proceeds will be returned to an account held in the name of the registered Shareholder(s). Requests for redemptions should be made by submitting a completed Redemption Form to the ICAV care of the Administrator. Redemption forms may be submitted by facsimile. Requests for redemption received prior to the relevant Fund's Dealing Deadline for any Dealing Day will be processed on that Dealing Day. Any requests for redemption received after the relevant Fund's Dealing Deadline for a Dealing Day will normally be processed on the next Dealing Day unless the Directors in their absolute discretion determine otherwise, provided that such request has been received prior to the Valuation Point for the relevant Dealing Day. Redemption requests received after the Dealing Deadline but prior to the Valuation Point will only be accepted in exceptional circumstances, as determined and agreed by the Directors and / or the senior management of the Manager, having regard to the equitable treatment of Shareholders. Acceptance of late redemption requests will be documented. No redemption payment will be made from an investor's holding until the Application Form and all documentation required by or on behalf of the Administrator (including any documents in connection with anti-money laundering procedures) has been received from the investor and the anti-money laundering procedures have been completed. For the avoidance

of doubt, redemption requests initially sent by facsimile may only be processed where payment is made to the account of record and the signed redemption request form has been received.

Date: _____

Name of Entity: _____

Address of Entity: _____

Telephone: _____

Facsimile: _____

Email: _____

Signed: _____

Name: _____

Title: _____

Capacity: _____

Signed: _____

Name: _____

Title: _____

Capacity: _____

*** Note: Two authorised signatories are required for an entity investor.**

In the case of individual investors, forms are to be signed by the registered investor(s).

REDEMPTION ACCOUNT DETAILS

Bank Name

Bank Address

Sort Code ABA

Account Name

Account Number

Payment Reference

A REQUEST TO CHANGE BANK ACCOUNT DETAILS MUST BE MADE IN WRITING TO THE ADMINSTRATOR AND MUST BE ACCOMPANIED BY A BANK STATEMENT OR BANKER'S REFERENCE.