

## SUBSCRIPTION FORM: LEGAL ENTITY | Weekly Liquidity

**Pursuant to the Offering Memorandum relating to the offer of Investor shares in Protea International Hedge Fund SICAV plc (the "Company" or the "Fund")**

The Fund is a collective investment scheme organised as a multi-class public limited liability company with variable share capital under the laws of Malta and licensed by the Malta Financial Services Authority (the "MFSA") under the Investment Services Act (Chapter 370 of the Laws of Malta) as a Professional Investor Fund promoted to Qualifying Investors.

**PROSPECTIVE APPLICANTS FOR INVESTOR SHARES SHOULD INFORM THEMSELVES AS TO THE LEGAL REQUIREMENTS FOR ACQUIRING, HOLDING OR DISPOSING OF INVESTOR SHARES IN THE FUND WITHIN THEIR COUNTRIES OF THEIR NATIONALITY, RESIDENCE, ORDINARY OR PERMANENT RESIDENCE OR DOMICILE, AND ANY APPLICABLE EXCHANGE CONTROL REQUIREMENTS AND TAXES IN THE COUNTRIES OF THEIR NATIONALITY, RESIDENCE, ORDINARY OR PERMANENT RESIDENCE OR DOMICILE.**

### Guide for Investing:

 <p>Complete Form</p>	<p>This form is for a legal entity. To invest as a natural person, please fill in the individual (natural person) form.</p> <p>Complete all parts of this subscription form (preferably electronically), save the file and email to us at <a href="mailto:international@proteacapitalmanagement.com">international@proteacapitalmanagement.com</a>.</p> <p>You may only invest if you qualify as an 'Eligible Investor'. Refer to the Eligible Investor Declaration Form (included on page 6).</p> <p>Please <b>DO NOT</b> sign the forms until we have confirmed that your electronic submission is in order.</p>
 <p>KYC Requirements (Due Diligence Docs)</p>	<p>Provide the necessary supporting Customer Due Diligence documents as per AML/KYC requirements (specified from page 12) to ensure efficient handling of your subscription. Scan these documents and email to us.</p> <p>We are prohibited from processing any business transactions on your behalf until all such documentation and information has been received as part of the Customer Due Diligence procedures.</p>
 <p>Verification</p>	<p>The KYC team will verify the subscription form, Anti-Money Laundering and Counter Terrorist information, Tax self-certification details and Customer Due Diligence documents.</p> <p>We may contact you for more information. Upon approval of verification, you will receive an email containing the bank account details of the Fund, which you should use to transfer your investment.</p> <p><b>Kindly note that the investor is responsible for fees that may be charged by the investor's bank (or correspondent bank) and that the investment amount on this form must match the actual amount received.</b></p>
 <p>Courier Documents</p>	<p>After we have confirmed that your electronic submission is in order, please print the form and sign where required.</p> <p><b>COURIER the ORIGINAL signed form and CERTIFIED COPIES (see page 16) of DUE DILIGENCE DOCUMENTS to:</b></p> <p>Apex Fund Services (Malta), "Quad Central", Q3 Level 9, Triq L-Esportaturi, Zone 1, Birkirkara CBD 1040, Malta 9037</p> <p><b>OR TO</b> Apex Investor Services, 11th Floor, Pier Place, Heerengracht Street, Cape Town, 8000, South Africa</p>
 <p>Cut-Off Times</p>	<p>The weekly transaction cut-off time for the processing of investment subscriptions at the end of the calendar week is 10am Central European Time (CET) on a Friday.</p> <p>In the event of a Friday being a public holiday in Malta, the cut-off time is 10am Central European Time (CET) on the preceding business day.</p> <p>All instructions received after the above cut-off time will be processed for the following week.</p>

# INVESTOR INFORMATION: LEGAL ENTITY

## INVESTOR'S LEGAL STRUCTURE – TICK AS APPROPRIATE

- Charity     Collective Investment Scheme     Company     Foundation     LLC  
 Trust     Nominee     Subsidiary     Partnership     Pension

Other, please specify  Investor number, if the investor already has one issued by Apex

## CONTACT PERSON

Capacity   
Name and surname  Email   
Telephone number

## DETAILS OF LEGAL ENTITY

Registered name  Trading name   
Registration number  Date of registration   
Country of registration  VAT registration number   
Tax Identification Number (or equivalent)  Countries of operation   
Industry

### Registered address (head office):

Postal code

Is the business operating address the same as the registered address (head office)? Yes  No

If no, please provide the **business operating address:**

Postal code

Is the postal address the same as the registered address (head office)? Yes  No

Is the postal address the same as the business operating address? Yes  No

If neither, please provide the **postal address:**

Postal code

### Contact Details: **\*\*\*N.B. Please supply all email addresses to be included for monthly account statement and contract note distribution lists**

Name and surname   
Telephone number  Cell phone number   
\*\*\*Email

You will receive login details to Apex Connect Portal, an online platform which gives the investor access to viewing investor holdings, transaction history, static account details, investor statements as well as other pertinent investment information. Please detail any additional individuals requiring

Name	Relationship	Email	Cell phone number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## SOURCE OF WEALTH

Current Industry / Business   
Estimated Annual Income   
Source of Wealth

The investor is required to provide a detailed description of the activities through which the investor has earned and accumulated its overall wealth. Please provide financial figures of the investor's wealth (an estimated range is acceptable). We may ask you to provide documentary evidence of the declared source of wealth. Kindly note that statements such as 'earnings', 'dividends' or 'income' need to be expanded and details of the origin of the 'earnings', 'dividends' or 'income' should be provided.

## SOURCE OF FUNDS

### Source of funds for this investment (compulsory)

Profits  Sale of Assets  Loan  Gift/Donation  Other

The investor is required to provide details as to the manner in which the investor earned/accumulated the funds or other assets which are being transferred by the investor to the Fund in settlement of the consideration due by the investor to the Fund for the subscription of Investor Shares. We may ask you to provide documentary evidence of the declared source of funds.

## BANK DETAILS FOR LEGAL ENTITY (NO THIRD-PARTY PAYMENTS ALLOWED)

Please provide details below of the bank account from which subscription monies are being transmitted and to which payments are to be made by the Fund to the Investor on redemption.

Note that if the branch of the relevant bank is in a country that is not a full member of the FATF or the EU, further information may be required concerning the bank, or the subscription may be rejected.

Account Holder Name  Account number

Bank  Branch

## BANK DETAILS FOR CORRESPONDENT/INTERMEDIARY (if Applicable)

A Correspondent bank acts as a point of contact for another bank in a country or state where the second bank does not have a branch or agency.

Correspondent bank name

Bank address

Swift/BIC code

Branch name/  
Sort code

Account name

Account number

### Signature of account holder:

- **A bank letter or statement must be attached as proof of banking details.**
- The onus is on the investor to inform the Company of any changes to the bank account details.
- All payments will be made in the currency as provided for in the Offering Memorandum.
- No payments will be made into third party bank accounts or credit card accounts, payments will only be made to the bank account in the name of the registered investor.

## INVESTMENT OPTION

Please review the Fund's [Offering Memorandum \(OM\)](#) with regards to applicable terms, attributes, minimums and fees of each class of shares. The initial minimums shown are on a *Fund* (not class) basis and subsequent investments (additional subscriptions) have no minimum.

Class	ISIN	Currency	Minimum Investment	Amount being Invested
Class B1 Non-Institutional Class Shares	MT7000031290	USD \$	100,000	
Class B2 Institutional Class Shares	MT7000031308	USD \$	1,000,000	
Class B3 Shares	MT7000031316	USD \$	1,000,000	
Class C1 Non-Institutional Class Shares	MT7000031324	EUR €	100,000	
Class C2 Institutional Class Shares	MT7000031332	EUR €	1,000,000	
Class C3 Shares	MT7000031340	EUR €	1,000,000	
Class D1 Non-Institutional Class Shares	MT7000031357	GBP £	100,000	
Class D2 Institutional Class Shares	MT7000031365	GBP £	1,000,000	
Class D3 Shares	MT7000031373	GBP £	1,000,000	
Class NFP Shares	MT7000031381	USD \$	100,000	

### Fund Banking details:

We do not reflect the Fund's banking details on our forms. In order to meet our KYC obligations, we will first establish and verify your identity and determine whether we are allowed to establish a business relationship with you before we send the Fund's banking details to you. No physical cash deposits are allowed, electronic transfers only.

## PROHIBITED PERSONS & POLITICALLY EXPOSED PERSONS

Is the applicant or any person/s on whose behalf or for whose benefit this Subscription Form is being submitted to the Fund:

	Yes	No
(a) an individual or entity or member of an entity named on any available lists of known or suspected terrorists, terrorist organisations or of other sanctioned persons issued by the United Nations, the EU/EEA, other international or regional organisations, the United States government and the governments of any jurisdictions in which the Company is doing business, including the UN List of Suspected Terrorist Organizations and Individuals and the List of Specially Designated Nationals and Blocked Persons administered by OFAC (as such lists may be amended from time to time)?	<input type="checkbox"/>	<input type="checkbox"/>
(b) an individual or entity otherwise prohibited by the United Nations, EU/EEA or OFAC sanctions programs?	<input type="checkbox"/>	<input type="checkbox"/>
(c) an individual who is a current or former senior foreign political figure or politically exposed person, or an immediate family member or close associate of such an individual?	<input type="checkbox"/>	<input type="checkbox"/>
d) a prohibited foreign shell bank?	<input type="checkbox"/>	<input type="checkbox"/>

If the applicant has replied 'Yes' to any of the above questions, please provide details in the space provided below:

A "senior foreign political figure" is defined as (a) a current or former senior official in the executive, legislative, administrative, military or judicial branches of a non-U.S. government (whether elected or not), a current or former senior official of a major non-U.S. political party, or a current or former senior executive of a non-U.S. government-owned commercial enterprise; (b) a corporation, business, or other entity that has been formed by, or for the benefit of, any such individual; (c) an immediate family member of any such individual; and (d) a person who is widely and publicly known (or is actually known) to be a close associate of such individual. For purposes of this definition, a "senior official" or "senior executive" means an individual with substantial authority over policy, operations, or the use of government-owned resources; and "immediate family member" means a spouse, parents, siblings, children and spouse's parents or siblings.

A "politically exposed person" ("PEP") is a term used for individuals who are or have been entrusted with prominent public functions in a foreign country, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials.

A "prohibited foreign shell bank" is a foreign bank that does not have a physical presence in any country, and is not a "regulated affiliate," i.e., an affiliate of a depository institution, credit union, or foreign bank that (i) maintains a physical presence in the U.S. or a foreign country, and (ii) is subject to banking supervision in the country regulating the affiliated depository institution, credit union, or foreign bank.

## BENEFICIAL OWNERSHIP DETAIL

Full name of any individual (i.e. natural person) with a beneficiary interest of 10% or more in this investment: or anyone who otherwise exercises control of the legal entity, where applicable:

1.	<input type="text"/>	% share	<input type="text"/>	3.	<input type="text"/>	% share	<input type="text"/>
2.	<input type="text"/>	% share	<input type="text"/>	4.	<input type="text"/>	% share	<input type="text"/>

Note: The Company is to be notified of any changes to the above declarations in the event that any of the representations are no longer accurate.

If there is/(are) no individual(s) with a beneficial interest of 10% or more in this investment, and there is no one who otherwise exercises control of the legal entity, please check the following box:

## INVESTOR DECLARATION

I/We hereby declare that this Subscription Form is being submitted to the Company only after having read, understood and agreed with the Offering Memorandum relating to the offer of Investor Shares in the Fund, the terms of which are hereby reiterated and confirmed in full by the Investor.

I/We hereby declare that the Investor Shares are not being acquired in violation of any applicable law and that the Investor Shares will not be owned beneficially by a person under 18 years of age who has not been emancipated.

I/We hereby declare that I/we are not resident for tax purposes within the Island of Malta.

I/We represent and warrant that I/we nor any of the undersigned nor any person or company for whose account the undersigned is acquiring the Investor Shares is a US Person (please see the Offering Memorandum for the definition of such term).

I/We hereby understand that Investor Shares will be issued in non-certificated form and an investor number will be allocated to me/us on the contract note issued and I/we must quote this number on all correspondence with the Administrator which shall not act upon any instruction unless it contains such investor number.

I/We hereby understand that applications for Investor Shares must be made in writing using the Subscription Form in the form determined and provided by the Company from time to time, which must be duly completed and signed by the applicant or on their behalf by their duly authorised agent. Emailed transmission of the Subscription Form will be acceptable to initiate a subscription application, but the application will not be accepted and the Investor Shares will not be issued to the applicant until the Company has received the original Subscription Form from or on behalf of the applicant in good order (unless the Company, in its absolute discretion, decides otherwise).

Neither the Company nor the Administrator shall take any responsibility for any error in transmission of any instruction or communication so transmitted, or any fraud or mistake thereby arising. In the case of doubt, the Company or the Administrator may, at any time, refuse to accept a facsimile or e-mail communication and shall not be liable for any consequences arising as a result thereof.

An investment in the Company should be regarded as long term in nature and should form only part of a balanced investment portfolio - it is only suitable for experienced investors who appreciate the risks involved. Investors may not recoup the amount originally invested.

I/We acknowledge that this Application shall be governed by and construed in accordance with the laws of Malta and I/We agree to submit to the exclusive jurisdiction of the Courts and Tribunals of Malta.

**FATCA and the Common Reporting Standard (CRS)**

I/We acknowledge that the Company 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 Malta law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Malta ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by

1. the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein; or
2. any provisions imposed under Malta law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company or its agents 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 Company immediately of any such change and further agree to immediately take such action as the Company 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 Company or its agents. If relevant, I/we agree to notify the Company or its agents of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company and its agents 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 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 Company. 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 Company, and that the Company and its agents 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 Company and its agents against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

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

I/We confirm that we have read, understood and consent to the "Customer Information Notice – Common Reporting Standard" which appears in the Terms and Conditions section at the end of this Application.

All correspondence and mailings in respect of the Company or the Fund will be sent to the applicant at the address as indicated above.

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

A corporation should execute under its common seal or have this signed by a duly authorised officer who should state his/her representative capacity.

<b>Authorised Signature 1:</b>										
<b>Name of Signatory 1:</b>										
<b>Capacity*:</b>										
<b>Place:</b>		<b>Date:</b>	d	d	m	m	y	y	y	y

<b>Authorised Signature 2:</b>										
<b>Name of Signatory 2:</b>										
<b>Capacity*:</b>										
<b>Place:</b>		<b>Date:</b>	d	d	m	m	y	y	y	y

\* Please remember to provide proof of authority/representation and supporting documentation for us to verify authority

## Eligible Investor Declaration

Scheme/Company/Fund: **Protea International Hedge Fund SICAV p.l.c.**

This section should be completed by the Eligible Investor or his/her/its duly authorized agent (including an entity acting or which will be acting as nominee holder in respect of the Units applied for on behalf of the underlying beneficiary).

Tick the boxes below as appropriate

**The investment is being made directly by the investor (not through a duly authorised agent)**

- I hereby confirm that I am eligible to be treated as an "Eligible Investor", since I satisfy the definition thereof in light of the positive response(s) that I have given to the question(s) below or the reasons supplied. I certify that I have read and understood the Offering Memorandum issued by the Company including the mandatory risk warnings.

**The investment is not being made directly by the investor but through a duly authorised agent**

- I hereby confirm that I have been properly appointed as a duly authorised agent of a prospective investor in the Scheme described above. I certify that my principal is eligible to be treated as an "Eligible Investor" since my principal satisfies the definition thereof in light of the positive response(s) that I have given to the question(s) below in respect of my principal. I certify that my principal has read and understood the Offering Memorandum including the mandatory risk warnings.

		Yes	No
(a)	investing a minimum of USD100,000 for the United States Dollar Denominated Classes or GBP100,000 for the Sterling Denominated Classes or EUR100,000 for the Euro Denominated Classes, which investment may not be reduced below this minimum amount at any time by way of a partial redemption	<input type="checkbox"/>	<input type="checkbox"/>
(b)	aware of and accepts the risks associated with the investment	<input type="checkbox"/>	<input type="checkbox"/>
(c)	satisfying at least one of the following:		
	i. a body corporate which has net assets in excess of EUR750,000 or which is part of a group which has net assets in excess of EUR750,000, or in each case the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
	ii. an unincorporated body of persons or association which has net assets in excess of EUR750,000 or the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
	iii. a trust where the net value of the trust's assets is in excess of EUR750,000 or the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
	iv. an individual whose net worth or joint net worth with that person's spouse, exceeds EUR750,000 or the currency equivalent thereof;	<input type="checkbox"/>	<input type="checkbox"/>
	v. a senior employee or director of service providers to the Fund.	<input type="checkbox"/>	<input type="checkbox"/>

<b>Name of investor/duly authorised agent</b>	
<b>Signature</b>	
<b>Title/Capacity in which signed</b>	
<b>Date</b>	

The following section should also be completed by Eligible Investors who are residents of South Africa and who qualify as Qualified Investors or his/her/its duly appointed Financial Services Provider ("FSP").

Tick the boxes below as appropriate

**The investment is being made directly by the investor (not through a duly appointed FSP)**

- In light of the positive response(s) that I have given to the question(s) above I hereby confirm that I meet the requirements to qualify as a "Qualified Investor" since I have demonstrable knowledge and experience in financial and business matters to enable me to assess the merits and risks of investing in the Scheme and I am investing the equivalent of a minimum of one million South African Rand (ZAR1,000,000) in USD for USD Denominated Classes, GBP for Sterling Denominated Classes or EUR for Euro Denominated Classes, as required under South African laws, and which amount is not equivalent to not less than the Minimum Investment described in the Offering Memorandum.

**The investment is being made by the investor through a duly appointed FSP**

- I hereby confirm that I have been properly appointed as a duly authorised FSP of a prospective investor in the Scheme described above. I certify that my client meets the requirements to qualify as a "Qualified Investor" and in light of the positive response(s) that I have given to the question(s) above in respect of my client I hereby confirm that either my client has demonstrable knowledge and experience in financial and business matters to assess the merits and risks of investing in the Scheme or that I have demonstrable knowledge and experience to advise my client regarding the merits and risks of investing in the Scheme and that my client will be investing the equivalent of a minimum investment of one million South African Rand (ZAR1,000,000) in USD for USD Denominated Classes, GBP for Sterling Denominated Classes or EUR for Euro Denominated Classes, as required under South African laws, and which amount is not equivalent to not less than the Minimum Investment described in the Offering Memorandum.

<b>Name of investor/duly authorised FSP</b>	
<b>Signature</b>	
<b>Title/Capacity in which signed</b>	
<b>Date</b>	

In the case where the applicant is a company or partnership, the Eligible Investor Declaration Form is required from the directors or general partners of the applicant, whilst in the case of a trust, by the trustee. In the case of joint applicants, all applicants should individually satisfy the eligibility criteria to be treated as Eligible Investors and the Eligible Investor Declaration Form should be made and signed by (or on behalf of) all of them. In relation to investments made by an entity holding on a nominee basis, the underlying investors considered to be the beneficial owners must individually satisfy the criteria to be treated as Eligible Investors. In such case, the underlying investors must confirm that they are Eligible Investors and the Eligible Investor Declaration Form should be made and signed by all of them. Alternatively, the entity holding on a nominee basis can satisfy itself that the underlying individual investors are Eligible Investors and give such a confirmation (by submitting and signing this Eligible Investor Declaration Form) on their behalf.

An Eligible Investor can only be a Professional Client. A 'Professional Client' is a client who possesses the experience, knowledge and expertise to make its own investment decisions and properly assess the risks that it incurs. The following should all be regarded as professionals in all investment services and activities and with respect to all the financial instruments mentioned in Schedule 2 to the Investment Services Act, 1994, of the laws of Malta:

a. Entities which are required to be authorised or regulated to operate in the financial markets. The list below should be understood as including all authorised entities carrying out the characteristic activities of the entities mentioned: entities authorised by a Member State under a Directive, entities authorised or regulated by a Member State without reference to a Directive, and entities authorised or regulated by a non-Member State:

- i. Credit Institutions
- ii. Investment Firms
- iii. Other authorised or regulated financial institutions
- iv. Insurance Companies
- v. Collective investment schemes and management companies of such schemes
- vi. Pension funds and management companies of such funds
- vii. Commodity and commodity derivatives dealers
- viii. Locals
- ix. Other institutional investors;

b. Large undertakings meeting two of the following size requirements on a company basis:

- i. balance sheet total: EUR20,000,000 or USD20,000,000 (or equivalent in another currency);
- ii. net turnover: EUR40,000,000 or USD40,000,000 (or equivalent in another currency);
- iii. own funds: EUR2,000,000 or USD2,000,000 (or equivalent in another currency);

c. National and regional governments, public bodies that manage public debt, Central banks, international and supranational institutions such as the World Bank, the IMF, the ECB, the EIB and other similar international organisations;

d. Other institutional investors whose main activity is to invest in financial instruments, including entities dedicated to the securitisation of assets or other financing transactions.

Clients not falling under any of the above categories, including public sector bodies and private individual investors may also be treated as professional clients upon request subject to the conditions and procedure set out in Part B1 of the Investment Services Rules for Investment Services Providers issued by the MFSA.

## ENTITY SELF-CERTIFICATION FORM FOR FATCA AND CRS

**This form must be completed by all investors. In the event that the investing entity is a Passive Non-Financial Entity (see section C - Non-Financial Institutions under FATCA) then Controlling persons must complete the additional form under the Annexure entitled "Individual Self-Certification for FATCA and CRS - Annexure".**

### Instructions for completion

We are obliged to collect certain information about each investor'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 Malta data protection legislation, currently the Data Protection Act (Chapter 440 of the Laws of Malta). 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 Malta 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 investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser or local tax authority.

For further information on FATCA or CRS please refer to Malta Commissioner for Revenue website at <https://cfr.gov.mt/en/inlandrevenue/itu/Pages/Automatic-Exchange-of-Financial-Account-Information.aspx> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

Please note that where there are joint or multiple account holders each account holder is required to complete a separate Self-Certification form. For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/>

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

## A INVESTOR IDENTIFICATION

Investor name

Country of Incorporation or Organisation

Current registered address:

Postal code

Postal address: (if different to above)

Postal code

## B FATCA DECLARATION SPECIFIED U.S. PERSON

Please tick one of the options below and complete as appropriate

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

The entity is not a Specified U.S. Person (please also complete Sections C, D and E)

or

The entity is a U.S. person but not a Specified U.S. Person (please also complete Sections C, D and E)

## C ENTITY'S FATCA CLASSIFICATION

The information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section E below.

### Financial Institutions under FATCA

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN in the space below

I	Reporting Model 1 Foreign Financial Institution (FFI)	<input type="checkbox"/>
II	Reporting Model 2 FFI	<input type="checkbox"/>
III	Participating FFI	<input type="checkbox"/>
IV	Sponsored FFI	<input type="checkbox"/>
V	Registered deemed compliant FFI	<input type="checkbox"/>
VI	Certified deemed compliant FFI	<input type="checkbox"/>
VI	Other (Please specify)	<input type="checkbox"/>

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	The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN Please provide the sponsor's name and sponsor's GIIN Sponsor's name <input type="text"/> Sponsor's GIIN <input type="text"/>	<input type="checkbox"/>
II	Exempt Beneficial Owner	<input type="checkbox"/>
III	Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)	<input type="checkbox"/>
IV	Non-Participating Foreign Financial Institution	<input type="checkbox"/>

V	Excepted Foreign Financial Institution	<input type="checkbox"/>
VI	Trustee Documented Trust - Please provide your Trustee's name and GIIN Trustee's name <input type="text"/> Trustee's GIIN <input type="text"/>	<input type="checkbox"/>

### Non-Financial Institutions under FATCA

If the entity is not a financial institution, please tick one of the below categories

I	Active Non-Financial Foreign Entity	<input type="checkbox"/>
II	Passive Non-Financial Foreign Entity (If this box is ticked, please include self-certification forms for each of your Controlling Persons)	<input type="checkbox"/>
III	Excepted Non-Financial Foreign Entity	<input type="checkbox"/>
IV	Direct Reporting Non-Financial Foreign Entity Please provide your GIIN <input type="text"/>	<input type="checkbox"/>

## D CRS DECLARATION OF TAX RESIDENCY (you may choose more than one country)

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")). <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

**NOTE:** Under the Malta legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided. Kindly provide the tax number below. 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.

Country / Countries of tax residence	Tax Identification Number

If a TIN is unavailable, please tick the appropriate box as follows:

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

## E 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 C.

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

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

### Financial Institutions under CRS

I	Financial Institution under CRS (other than (II) below)	<input type="checkbox"/>
II	An Investment Entity located 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 and complete a separate Individual Self-Certification Forms for each of your Controlling Person(s)**)	<input type="checkbox"/>

### Non-Financial Institutions under CRS:

I	Active Non-Financial Entity - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation	<input type="checkbox"/>
II	Active Non-Financial Entity - a Government Entity or Central Bank	<input type="checkbox"/>
III	Active Non-Financial Entity - an International Organisation	<input type="checkbox"/>
IV	Active Non-Financial Entity - other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
V	Passive Non-Financial Entity (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s)**)	<input type="checkbox"/>

**\*\*NB Controlling Persons: Please note that each Controlling Person must complete a separate Individual Self-Certification Form.**

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

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

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

## F DECLARATIONS AND UNDERTAKINGS

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

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

Authorised signature 1	<input type="text"/>
Print name	<input type="text"/>
Date	<input type="text"/>
Capacity	<input type="text"/>
Authorised signature 2	<input type="text"/>
Print name	<input type="text"/>
Date	<input type="text"/>
Capacity	<input type="text"/>

### 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 Malta Commissioner of Revenue website: <https://cfr.gov.mt/en/inlandrevenue/itu/Pages/Automatic-Exchange-of-Financial-Account-Information.aspx>

## INDIVIDUAL SELF-CERTIFICATION FORM FOR FATCA AND CRS - ANNEXURE

**This Annexure should only be completed if the entity investor is a passive Non-Financial Foreign Entity (NFFE), a passive Non-Financial Entity (NFE) or a trust which is not a Financial Institution (FI). For a FI subject to CRS itself or an active NFE, this Annexure should not be completed.**

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

We are obliged to collect certain information about each investor'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 Malta data protection legislation, currently the Data Protection Act (Chapter 440 of the Laws of Malta). 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 Malta 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 investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser or local tax authority.

For further information on FATCA or CRS please refer to Malta Commissioner for Revenue website:

<https://cfr.gov.mt/en/inlandrevenue/itu/Pages/Automatic-Exchange-of-Financial-Account-Information.aspx> or, in the case of CRS only, the OECD CRS Information Portal: <http://www.oecd.org/tax/automatic-exchange/>

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

Please note that where there are joint or multiple account holders each account holder is required to complete a separate Self-Certification form. For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/>

## A INVESTOR IDENTIFICATION (CONTROLLING PERSON)

Investor name

Current residential address

Postal code

Postal address (if different to above)

Postal code

Town or city of birth  Country of birth

Date of birth

## B FATCA DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES

Please tick one of the options below and complete as appropriate

- I confirm that I am/the investor is a U.S. citizen and/or resident in the U.S. for tax purposes with U.S federal taxpayer identifying number (U.S. TIN):
- or
- I confirm that I am not/the investor is not a U.S. citizen nor resident in the U.S for tax purposes

## C CRS DECLARATION OF TAX RESIDENCY (you may choose more than one country)

Please indicate your/ the investor's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ("TIN"). Please see the CRS Portal for more information on Tax Residency.

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/>

Country / Countries of tax residence	Tax Identification Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**NOTE:** Under the Malta legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided. If a TIN is unavailable, please tick the appropriate box as follows;

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

## D TYPE OF CONTROLLING PERSON

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

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

Please confirm what type of Controlling Person applicable under CRS that applies to you/the investor by ticking the appropriate box.		Entity Name
Controlling Person of a legal person - control by ownership	<input type="checkbox"/>	
Controlling Person of a legal person - control by other means	<input type="checkbox"/>	
Controlling Person of a legal person - senior managing official	<input type="checkbox"/>	
Controlling Person of a trust - settlor	<input type="checkbox"/>	
Controlling Person of a trust - trustee	<input type="checkbox"/>	
Controlling Person of a trust - protector	<input type="checkbox"/>	
Controlling Person of a trust - beneficiary	<input type="checkbox"/>	
Controlling Person of a trust - other	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - settlor-equivalent	<input type="checkbox"/>	

Controlling Person of a legal arrangement (non-trust) - trustee-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - beneficiary-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - other-equivalent	<input type="checkbox"/>	
Controlling Person of a legal arrangement (non-trust) - protector-equivalent	<input type="checkbox"/>	

## E 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 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 where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised signature

Print name

Date

Capacity

### 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 Malta Commissioner for Revenue website: <https://cfr.gov.mt/en/inlandrevenue/itu/Pages/Automatic-Exchange-of-Financial-Account-Information.aspx>

## ANTI-MONEY LAUNDERING (AML) DOCUMENTATION TO BE SUBMITTED

**Note:** If the Investor is being represented by an Agent, kindly also provide the applicable documentation about the Agent as per the below requirements.

### 1. INDIVIDUAL (NATURAL PERSON)

- 1.1. Proof of identity (Certified copy of current ID/Passport/Driving License).
- 1.2. Proof of address (not older than 6 months). Mobile phone bills are not accepted.
- 1.3. An original (i.e. stamped) bank reference letter bearing the individual's name, residential address, banking details and confirming a professional relationship subsisting for at least two (2) years. Where it is not possible to obtain such a bank reference, kindly provide a professional reference letter as per the guidelines with respect to the bank reference letter.
- 1.4. Detailed description of the source of wealth/funds, and documentary evidence of such source of wealth/funds (e.g. a bank statement).

### 2. CORPORATE ENTITY

- 2.1. Certified true copy of the Certificate of Incorporation or its equivalent in the relevant jurisdiction of incorporation, and any Change of Name Certificate.
- 2.2. Certified true copy of the latest Memorandum and Articles of Association and/or any other constitutive documents or statutes.
- 2.3. A list providing details of all directors, beneficial owners, all authorised signatories and specimen signatures;

Please note that the following details are required for all of the above:

- i. Full name.

- ii. Place and Date of Birth.
- iii. Permanent Residential Address.
- iv. Number of Passport or Identity Card.
- v. Nationality.

In case of corporate directors, please provide the above details in relation to their individual directors.

'Beneficial owners' include, in particular: (i) persons holding or controlling, directly or indirectly, more than 10% of the issued shares or voting rights of the corporate entity; (ii) beneficiaries of a trust which shall hold shares in the corporate entity to the extent referred to above; and/or (iii) persons otherwise holding shares in the corporate entity through a fiduciary to the extent referred to above.

- 2.4. Certified true copy of the Register of Directors.
- 2.5. Certified true copy of the Register of Members (specifying which shareholders own 10% or more of share capital or voting rights).
- 2.6. Certified true copy of the Authorised Signatory List.
- 2.7. Verification information on all directors and anyone authorised as a signatory for the purposes of this Subscription Form (as per 1.1 and 1.2 above).
- 2.8. Verification information on any beneficial owners holding 10% or more of the share capital (as per 1.1, 1.2, 1.3 and 1.4 above).
- 2.9. Certified true copy of the minutes, resolutions or declaration confirming the power to invest.
- 2.10. Certificate of Good Standing from relevant company registrar, or equivalent document.
- 2.11. If other entities own more than 10% each of the relevant entity/applicant, please provide:
  - i. The information as per 2.1 to 2.8 for these entities; and
  - ii. A certified chart indicating all the entities involved in the structure up to the beneficial owner/s, together with details as to who are the directors or equivalent officials of all the entities.
- 2.12. Most recent audited accounts and details on the nature of business conducted, signed by at least 2 directors.
- 2.13. A detailed description of the source of wealth/funds, providing documentary evidence of such source of wealth/funds.

### 3. CORPORATE ENTITIES LISTED ON A RECOGNISED STOCK EXCHANGE

A recognised exchange is one authorised in terms of the Financial Markets Act [Chapter 345 of the laws of Malta], a regulated market authorised in an EEA Member State or one in a reputable jurisdiction.

- 3.1. Certified true copy of any document evidencing admission to listing issued by the Recognised Exchange to the Corporate Entity.
- 3.2. A list of all directors and authorised signatories.

Please note that the following details are required for all of the above:

- i. Full name.
- ii. Place and Date of Birth.
- iii. Permanent Residential Address.
- iv. Number of Passport or Identity Card.
- v. Nationality.

Specimen signatures are also required for any authorised signatories that are to transact business with the Fund.

In case of corporate directors, please provide the above details in relation to their individual directors.

- 3.3. Certified true copy of the Register of Directors, and a certified true copy of the Authorised Signatory List.

### 4. PARTNERSHIPS

- 4.1. If incorporated or registered, a certified true copy of the partnership's certificate of incorporation/registration. If the partnership has changed its name since incorporation/registration, a certificate indicating the change in name.
- 4.2. A certified true copy of the partnership's latest partnership agreement or other governing document.
- 4.3. A list of all the partners or other persons vested with the administration of the partnership, beneficial owners of more than 10% of the business and all authorised signatories plus specimen signatures.

Please note that the following details are required for all of the above:

- i. Full name.
- ii. Place and Date of Birth.
- iii. Permanent Residential Address.
- iv. Number of Passport or Identity Card.
- v. Nationality.

In case of corporate administrators, please provide the above details in relation to their individual directors.

- 4.4. Verification information on all partners, or other persons vested with the administration of the partnership, and anyone authorised as a signatory for this transaction (as per 1.1 and 1.2 above).
- 4.5. Verification information on the beneficial owners listed under 4.3 (as per 1.1, 1.2, 1.3 and 1.4 above).
- 4.6. Certified true copy of the minutes, resolutions or declaration confirming the power to invest.
- 4.7. Certificate of Good Standing from relevant registrar, or equivalent document.
- 4.8. If other entities own more than 10% each of the partnership which is the investor, please provide: 
  - i. The information as per 4.1 to 4.5 for these entities (or its equivalent); and
  - ii. A chart indicating all the entities involved in the structure up to the beneficial owner/s, together with details as to who are the directors or equivalent officials of all the entities (to be certified by an auditor).
- 4.9. Most recent audited accounts and details on the nature of business conducted, signed by at least 2 partners or persons having a similar capacity in the partnership (as the case may be).
- 4.10. A detailed description of the source of wealth/funds, providing documentary evidence of such source of wealth/funds.

## 5. FOUNDATIONS

- 5.1. If incorporated or registered, a certified true copy of the foundation's certificate of incorporation/registration. If the foundation has changed its name since incorporation/registration, a certificate indicating the change in name.
- 5.2. A certified true copy of the foundation's latest constitutive document.
- 5.3. A list of all the founders, administrators, anyone that may have contributed any assets to the foundation and, where applicable, of the beneficiaries. Authorised signatories should also be included in the said list as well as their specimen signatures.

Please note that the following details are required for all of the above:

- i. Full name.
- ii. Place and Date of Birth.
- iii. Permanent Residential Address.
- iv. Number of Passport or Identity Card.
- v. Nationality.

In case of corporate entities, please provide the above details in relation to their individual directors.

- 5.4. Verification information on the beneficiaries, on the authorised signatories and the administrators (as per 1.1, 1.2, 1.3 and 1.4). 

If the foundation has no beneficiaries, verification information is required on all the administrators or other persons charged with the foundation's administration.
- 5.5. Certificate of Good Standing from relevant registrar, or equivalent document, may be required (if available).
- 5.6. If other entities own more than 10% each of the entity which is the investor, please provide: 
  - i. The information as per 5.1 to 5.4 for these entities; and
  - ii. A chart indicating all the entities involved in the structure up to the beneficial owner/s, together with details as to who are the directors or equivalent officials of all the entities (to be certified by an auditor).
- 5.7. Most recent audited accounts, or written details on the nature of the activities conducted, signed by at least 2 administrators.
- 5.8. A detailed description of the source of wealth/funds, providing documentary evidence of such source of wealth/funds.

## 6. TRUSTS

- 6.1. Certified true copy of the Trust Deed.
- 6.2. List of settlors, trustees, beneficiaries, protector(s) (if appointed) and authorised signatories, issued and signed by the trustee;

Please note that the following details are required for all of the above:

- i. Full name.
- ii. Place and Date of Birth.
- iii. Permanent Residential Address.
- iv. Number of Passport or Identity Card.
- v. Nationality.

In case of corporate entities, please provide the above details in relation to their individual directors.

- 6.3. Verification information on the Trustees, or anyone authorised to sign for this application (as per 1.1 and 1.2) together with specimen signatures.

Where the trustee is subject to authorisation/licensing, a certified true copy of its authorisation/licence.

- 6.4. Verification information on the beneficiaries with a vested interest (as per 1.1, 1.2, 1.3 and 1.4). If the beneficiaries are not specified by name and none have a vested interest, a signed description of the class of beneficiaries from the trustee.
- 6.5. A signed declaration by the trustee as to the name of the trust, its nature and purpose as well as the country of establishment.
- 6.6. Certified true copy of the minutes, resolutions or declaration confirming the power to invest.
- 6.7. A detailed description of the source of wealth/funds, providing documentary evidence of such source of wealth/funds.

## 7. DESIGNATED BODY ("DB") ACTING AS PRINCIPAL

A "Designated Body" means, in the context of this Subscription Form a financial institution that is regulated by an appropriate regulator in a reputable jurisdiction\* and meets certain regulatory standards regarding Anti Money Laundering procedures set out in applicable EU regulations and directives. For a definition of financial institutions' and 'reputable jurisdictions' please refer to the Notes Section below.

It is for the Administrator to determine whether an entity can be considered as a DB and this independently of its status or where it is regulated. If the Administrator deems that an entity does not meet the above requirements, the entity will be subject to the Investor Verification Requirements set out above as may be applicable.

- 7.1. Confirmation that the DB is a "Designated Body", to include confirmation of authorisation or licensing by an appropriate regulatory body and a certified true copy of its licence and authorisation.
- 7.2. Contact name and details at regulatory body, or web address to confirm regulatory status.
- 7.3. Confirmation that the DB is investing and is allowed to invest as principal for its own account.
- 7.4. Authorised signatories list, plus specimen signatures

## 8. DESIGNATED BODY ACTING AS NOMINEE

Where a Designated Body acts as nominee, the Administrator may agree, in its absolute discretion, to rely on it for verifying the beneficial owner's identity. If the Administrator determines otherwise, the same Investor Verification Requirements as stated above will be applicable.

- 8.1. Confirmation that the DB is a "Designated Body", to include confirmation of authorisation or licensing by an appropriate regulatory body and a certified true copy of its licence and authorisation;
- Contact name and details at regulatory body, or web address to confirm regulatory status.
- 8.2. Written confirmation that is satisfactory to the Administrator that the DB complies with appropriate anti-money laundering and prevention of funding of terrorism regulations with regard to verifying identity and residence of investor(s);
- Please provide the Administrator with a copy of your standard Letter of Reliance for the Administrator to determine whether the same is agreeable to it.
- 8.3. Details of anti-money laundering and prevention of funding of terrorism regulations that the DB complies with.

- 8.4. Undertaking satisfactory to the Administrator that DB will provide its anti-money laundering due diligence files to the Administrator on demand.
- 8.5. Details on the beneficial owner/s on whose behalf they are subscribing to shares, i.e. the
- i. Full name.
  - ii. Place and Date of Birth.
  - iii. Permanent Residential Address.
  - iv. Number of Passport or Identity Card.
  - v. Nationality.
- 8.6. Authorised signatories list, plus specimen signatures.

**THE ADMINISTRATOR RESERVES THE RIGHT TO REQUEST FURTHER INFORMATION/DOCUMENTATION TO THE ABOVE, IF DEEMED NECESSARY.**

**\*Notes Section:**

'Reputable Jurisdiction' includes any one country that (i) benefits from mutual recognition through the implementation of Directive 2005/60/EC; or (ii) is included in the list of third countries considered as having equivalent AML/CFT systems to the European Union; or (iii) the Company considers as being reputable on the basis of its membership in international bodies and the regulatory framework applicable therein.

### Certification of Documents

1. Documents that cannot be provided in original form must be certified as true copies of the original. The following are suitable certifiers:
  - i. Embassy, consulate or high commission officials of the country of issue authorised to certify documents.
  - ii. An independent qualified professional, i.e. a lawyer, notary public, accountant or auditor.
2. The certification of documents containing photographs is to read as follows:

*I hereby certify that I have had sight of the original document and that this is a complete and accurate copy of the original and the photograph bears a true likeness to the person requesting the certification:*

Signed: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Position or capacity: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Professional Body: \_\_\_\_\_  
 Professional Membership No.: \_\_\_\_\_  
 Email: \_\_\_\_\_  
 Telephone Number: \_\_\_\_\_  
 Date: \_\_\_\_\_

3. All certifiers are to clearly include their full name, surname, contact details and profession. Certifiers are also to sign, date and stamp the same.
4. Applicants may, at the Administrator's discretion, be requested to provide notarised and apostilled copies of the documents listed above.
5. Any document that is in a language other than English must be accompanied by a certified English translation of the said document.

### DATA PRIVACY STATEMENT

As a consequence of your investment, the Company acting as a data controller may itself (or through third parties including but not limited to the Administrator together with any distributor or 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.

Please contact the Data Protection Officer should you wish to obtain information concerning the Service Providers. 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 holdings in the Company will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Company for the purpose of:

- (i) managing and administering your holdings in the Company and disclosure to third parties (such as auditors, regulatory / tax authorities), in order to ensure the due performance of the contract between the Company and you;
- (ii) complying with any legal, tax or regulatory obligations under Company law / tax law and under anti-money laundering / counter terrorist financing legislation, in order to ensure compliance with a legal obligation to which the Company is subject;
- (iii) for the purpose of recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Company and its Service Providers or for otherwise pursuing the legitimate interests of the Company.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company 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. Further information relating to the balancing test undertaken by the Company to rely on legitimate interests as a grounds in respect of such processing is available upon request.**

#### **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 and disclosed by Service Providers appointed by the Company and its or their duly appointed agents and any of related, associated or affiliated companies within the Apex group of companies ("Apex Group") 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 Company and the Administrator 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, regulatory bodies, taxation authorities, Auditors and technology providers.

#### **Profiling and Screening**

The Company 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 screening and financial sanctions screening programmes may result in the Company or its Service Providers refusing an application for Shares in the Company 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 Company or its Service Providers.

#### **Undertaking in connection with other parties**

By providing personal data to the Company, you undertake to be authorised to disclose to the Company 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 Company. 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.

#### **Transfers Abroad**

Personal data collected from you or provided by you or on your behalf may be transferred outside of Malta including to companies situated in countries outside of the European Economic Area ("EEA") which may not have the same data protection laws as in Malta. Such non-EEA countries comprise South Africa where the Administrator's IT infrastructure is maintained, which has their own stringent data protection laws in place.

Where data transfers outside of the EEA take place, the Company and/or the relevant Service Provider have taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy of such personal data, including entering of data protection model agreements between the Company and its Service Providers in accordance with the requirements of GDPR.

Please contact the Data Protection Officer should you wish to obtain information concerning such safeguards.

#### **Data Retention Period**

The Company and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Company for such period of time as may be required by Maltese 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, if you consider that the processing of personal data relating to you carried out by the Company 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 Company or a Service Provider is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Company, please contact [international@proteacapitalmanagement.com](mailto:international@proteacapitalmanagement.com).

The Company 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 Company 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 Company. 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 Company.

## MANDATORY DISCLOSURES

The Protea International Hedge Fund SICAV Plc is approved by the FSCA under Section 65 of the Collective Investment Scheme Control Act 2002 and has been categorised as a Collective Investment Scheme for public sale in South Africa.

Collective Investment Schemes (CIS) should be considered as medium to long-term investments. The value may go up as well as down and past performance is not necessarily a guide to future performance. Collective Investments are traded at the ruling price and can engage in scrip lending and borrowing. A schedule of fees, charges and maximum commissions is available on request from the Manager. There is no guarantee in respect of capital or returns in a portfolio. A CIS may be closed to new investors in order for it to be managed more efficiently in accordance with its mandate. CIS prices are calculated on a net asset basis, which is the total value of all the assets in the portfolio including any income accruals and less any permissible deductions (brokerage, STT, VAT, auditor's fees, bank charges, trustee and custodian fees and the annual management fee) from the portfolio divided by the number of participatory interests (units) in issue. Forward pricing is used.

Past performance is not indicative of future results. Current and future results may be lower or higher than those shown. An investor in the fund may experience a loss. No investor or prospective investor should assume that any information presented in this fact sheet serves as the receipt of, or a substitute for, personalized individual advice from Protea International Hedge Fund SICAV Plc or any other investment professional.

The Fund's Total Expense Ratio (TER) reflects the percentage of the average Net Asset Value (NAV) of the portfolio that was incurred as charges, levies and fees related to the management of the portfolio. A higher TER does not necessarily imply a poor return, nor does a low TER imply a good return. The current TER cannot be regarded as an indication of future TER's.

Transaction Costs (TC) is the percentage of the value of the Fund incurred as costs relating to the buying and selling of the Fund's underlying assets. Transaction costs are a necessary cost in administering the Fund and impacts Fund returns. It should not be considered in isolation as returns may be impacted by many other factors over time including market returns, the type of Fund, investment decisions of the investment manager and the TER.

This is a marketing communication. Further fund details, including risks, fees and expenses, and other information, such as the Offering Memorandum, Key Investor Information Documents (KIIDs) and other documentation (collectively, the Fund Documents), which can be obtained by emailing: [international@proteacapitalmanagement.com](mailto:international@proteacapitalmanagement.com) or calling: +27 11 822 2154. Please refer to the Fund Documents and consider all of a fund's characteristics before making any final investment decisions.

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