

**WHITE RHINO FUND AND EAGLE FUND**  
(EACH A "FUND" AND TOGETHER THE "FUNDS")  
**SUB-FUNDS OF ALBEMARLE ALTERNATIVE FUNDS PLC**  
(THE "COMPANY")

**APPLICATION FORM**

**IMPORTANT**

INVESTORS ARE REQUIRED TO BE A QUALIFYING INVESTOR AS DEFINED IN THE CENTRAL BANK OF IRELAND'S AIF RULEBOOK (AS AMENDED FROM TIME TO TIME) IN ORDER TO PURCHASE SHARES IN THE COMPANY (INCLUDING SHARES IN THE FUND). THE DEFINITION OF QUALIFYING INVESTOR IS ALSO SET OUT IN THE PROSPECTUS.

INVESTORS SHOULD ENSURE THAT THE ORIGINAL APPLICATION FORM IS RETURNED BY POST TO THE ADMINISTRATOR AT THE ADDRESS BELOW. FAILURE TO RETURN THE ORIGINAL APPLICATION FORM AND SUPPORTING DOCUMENTATION WILL DELAY THE PAYMENT OF REDEMPTION PROCEEDS

INVESTORS SHOULD ENSURE THE SECTION HEADED "SIGNATURE" ON PAGE 35 HAS BEEN SIGNED BEFORE RETURNING THIS TO THE ADMINISTRATOR.

**ADMINISTRATOR**

Northern Trust International Fund Administration  
Services (Ireland) Limited  
2<sup>nd</sup> Floor, Block A, City East Plaza, Towlerton,  
Ballysimon, Limerick, Ireland

Telephone: +353 1 434 5118

Facsimile: +353 1 434 5284

[albemarle\\_fa\\_queries@ntrs.com](mailto:albemarle_fa_queries@ntrs.com)

Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).

**Please ensure that you have read the Prospectus before completing this Application Form.**  
**Applications can only be accepted from permitted recipients as described in the Prospectus.**

**If you are in the United Kingdom, you acknowledge and agree that you have received a copy of the Prospectus in response to an express request from you for the Prospectus, and you are applying for Shares in the Fund following such a request that was made at your own initiative.**

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Fund in accordance with 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) (collectively, "Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with Data Protection Legislation any other applicable data protection laws and regulations and this may include disclosure to the Irish Revenue Commissioners.

**Please complete this Application Form in blue or black ink using BLOCK CAPITALS.**

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

This Application Form, together with the Money Laundering Verification Requirements [and the Declaration of Irish Residence outside Ireland]<sup>1</sup>, constitutes your agreement to subscribe for Shares in the Fund. You should post or fax this Application Form (in which case the original Application Form and supporting documentation must also be forwarded) to the Administrator at the address on the coverpage.

Incomplete Application Forms (where compulsory information has not been provided) may be rejected and subscription monies received may be returned. If an application is rejected, the Administrator at the cost and risk of the Applicant will, subject to any applicable laws, return application monies or the balance thereof, without interest, expenses or compensation by electronic transfer to the account from which it was paid.

**INVESTOR TAX RESIDENCY**

PLEASE TICK (✓) THE RELEVANT BOX

A) NON-U.S. TAXPAYER

B) U.S. TAXPAYER\*

C) ONE OR MORE JOINT

APPLICANTS IS A U.S.  
TAXPAYER

D) NON-U.S. TAXPAYER HOLDING

SHARES ON BEHALF OF A U.S.  
TAXPAYER

If B, C or D has been ticked then each U.S. taxpayer must complete and sign IRS Form W-9 to certify their tax identification number. The form can be downloaded from [www.irs.com](http://www.irs.com). **Failure to submit a completed IRS Form W-9 (where applicable) will result in a delay in the settling of redemption/dividend proceeds (no interest will accrue).**

\*"U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

U.S. Taxpayers will be required to furnish the Administrator with a properly executed IRS Form W-9. Amounts paid to Unitholders who are U.S. Taxpayers as a distribution from the Fund, or as gross proceeds from a redemption of Shares, will generally be reported to Unitholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Unitholders who are U.S. Taxpayers) may subject such Unitholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Unitholders' U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Unitholders and certain other categories of Unitholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Unitholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

**PLEASE COMPLETE EITHER THE "MONETARY AMOUNT" OR THE "NO. OF SHARES" FIELD AND SPECIFY THE CURRENCY OF INVESTMENT\***

Name of Fund	White Rhino Fund
Share Class <sup>1</sup>	Class B
Monetary Amount (including currency of investment)	
Number of Shares	
Amount in Words	

Name of Fund	Eagle Fund
Share Class	Institutional Class I Shares

<sup>1</sup> Please note that the Class A Shares are fully seeded and are not currently available for subscription.

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

<b>Monetary Amount (including currency of investment)</b>	
<b>Number of Shares</b>	
<b>Amount in Words</b>	

<b>NAME(S) FOR REGISTRATION (BLOCK CAPITALS) *</b>	
<b>SHAREHOLDER 1</b>	<b>SHAREHOLDER 2</b>
First Name & Family Name/Company Name*	First Name & Family Name/Company Name
Street 1*	Street 1
Street 2*	Street 2
Town/Country/Postcode*	Town/Country/Postcode
Contact Telephone Number *	Contact Telephone Number
Contact Fax Number & Email Address *	Contact Fax Number & Email Address
<b>SHAREHOLDER 3</b>	<b>SHAREHOLDER 4</b>
First Name & Family Name/Company Name	First Name & Family Name/Company Name
Street 1	Street 1
Street 2	Street 2
Town/Country/Postcode	Town/Country/Postcode
Contact Telephone Number	Contact Telephone Number
Contact Fax Number & Email Address	Contact Fax Number & Email Address

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

Mailing address (if different from the address of the first named holder)

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

**Dealing Procedure**

All dealing instructions in relation to the Shares in the Fund must be received before the time(s) specified in the Prospectus of the Company and/or the relevant Supplement of the Fund as the case may be (together the "Prospectus"). Dealing instructions received after such times will generally be deemed to have been received for the next relevant dealing day.

**No redemption payment may be made until the original Application Form has been received and the Administrator is satisfied that all necessary anti-money laundering checks have been completed in full.**

**Dealing and Holding Minimums**

White Rhino Fund	Minimum Initial Subscription	€100,000
	Minimum Subsequent Subscription	€100,000

Eagle Fund	Minimum Initial Subscription	€100,000
	Minimum Subsequent Subscription	€100,000

By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

**Banking Details - THIS SECTION MUST BE COMPLETED BY ALL APPLICANTS\***

**Important information regarding bank accounts for subscriptions and redemptions**

Third party payments are not permitted for redemptions. Please confirm the details of the bank accounts from which and to which payments will be made below.

A copy of a recent bank statement (no more than 6 months old) or a banker's reference, must accompany the application to evidence the bank account details provided for subscriptions and redemption payments are for a bank account in the registered account name. Accounts in the name of regulated entities are exempt from this requirement

To meet our anti-money laundering and counter terrorist financing obligations under the current legislation, all joint bank account holders will be required to complete identity and verification requirements, even where those joint bank account holders will not be registered holders of shares or units in the fund.

Failure to provide all the bank account information and documentation requested as part of this application may result in a delay in setting up the account and subscribing to the fund.

**THIS SECTION MUST BE COMPLETED BY ALL INVESTORS OTHER THAN EQUIVALENTLY REGULATED ENTITIES OPENING AN ACCOUNT IN THEIR OWN NAME OR THE NAME OF THEIR NOMINEE COMPANY, EITHER FOR THEIR OWN BENEFIT OR THE BENEFIT OF ONE OR MORE THIRD PARTIES**

**BANK ACCOUNT DETAILS FROM WHICH SUBSCRIPTIONS WILL BE PAID  
BANK ACCOUNT DETAILS FOR SETTLEMENT OF REDEMPTION (AND DIVIDEND/DISTRIBUTION PROCEEDS IF APPLICABLE)**

Name of Bank	
A/c Name	
Address of Bank	
A/c Number	
Sort Code	
IBAN:	

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

Swift Code		Reference Code:
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**NOTE: NO THIRD-PARTY PAYMENTS WILL BE UNDERTAKEN.**

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

**NOTES:**

- (a) Requests for redemption payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Company has the discretion to determine that these charges should be borne by the Fund or the relevant Share Class thereof.
- (b) If subscribing for Shares in more than one sub-fund of the Company investors must clearly mark the payment reference accounts for each specific sub-fund and the sub-account.
- (c) The Base Currency of the Fund and the designated currency of any Shares will be set out in the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant sub-fund or the designated currency of the relevant Share Class. At the discretion of the Fund, applications may be accepted in currencies other than the Base Currency.
- (d) Any subscription proceeds paid in currencies other than the Base Currency of the relevant sub-fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.
- (e) Please ensure that you have read the Prospectus before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).

**Method of Payment**

- Please pay monies in accordance with the deadlines outlined in the Prospectus.
- Please remit payment to the following bank account: -
- Note: Monies must come from the account of the investor.**

	<b>FOR EURO SETTLEMENT</b> White Rhino Fund Eagle Fund	<b>FOR USD SETTLEMENT</b> White Rhino Fund Eagle Fund
<b>To Intermediary Bank:</b>	Barclays Bank Plc, Frankfurt	The Northern Trust International Banking Corporation, New Jersey, USA
<b>SWIFT Code 1:</b>	BARCDEFF	[CNORUS33]
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey  Swift: (CNORUS33)	
<b>SWIFT Code 2:</b>	CNORUS33	<b>Fedwire ABA:</b>
<b>A/C Name:</b>		[Albemarle Alternative Funds Plc]
<b>Beneficiary A/C Number:</b>	0210472800	[179309-20010]
<b>For further credit to account no / IBAN:</b>	[626283-20019]	
<b>For further credit to account name:</b>	Albemarle Alternative Funds Plc	
<b>Ref: Fund Name &amp; client register no or agent no:</b>	White Rhino Fund Eagle Fund	White Rhino Fund Eagle Fund
<b>*Reference: [Contract note number]</b>	[•]	[•]

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

**Note:** *Currency subscription settlement times*

*EURO 14:30 GMT*

*USD 16:00 GMT*

**Note:** *Monies must come from the account of the investor.*

Please specify your Ordering Institution details for subscriptions\*

Currency \_\_\_\_\_ Correspondent Bank \_\_\_\_\_

SWIFT \_\_\_\_\_ Account Number \_\_\_\_\_

**Return of Values (Investment Undertakings) Regulations 2013<sup>2</sup>**

The Company must collect additional information in order to comply with Return of Values (Investment Undertakings) Regulations 2013(S.I. 245 of 2013). Therefore, any individual, company or any unincorporated body of persons which are an Irish resident or ordinarily Irish resident, must provide the following additional information:

<b>Tax Identification Number (TIN) / PPS Number</b>	
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**Any one of the following additional documents is required to verify the TIN or PPS Number (either a 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 the duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Acts 1988 to 2003. 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.*

## Representations and Warranties

### ➤ **General Representations**

- I/We confirm our acceptance of all the terms herein.
- I/we further acknowledge receipt of and have read the Prospectus and understand that this application has been made on the terms thereof together with the terms of this application form and subject to the provisions of the memorandum and articles of association of the Company.
- I/We confirm that I am/we are 18 years of age or over.
- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.
- I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
- The Administrator and the Fund are each hereby authorized and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile or by email. I/We hereby agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Administrator acting upon facsimile or email instructions. The Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorized persons.
- I/We acknowledge that due to anti-money laundering requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We hereby accept such lesser number of Shares, if any, then may be specified above in respect of which this application may be accepted.
- In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- I/We consent to personal information obtained in relation to me/us being handled by the Administrator, the Fund, or the Investment Manager and their delegates, agents or affiliates in accordance with the Irish Data Protection Acts 1988 to 2018. Information in relation to me/us will be held, used, disclosed and processed for the purposes of (a) managing and administering my/our holdings in the Fund and any related account on an ongoing basis; (b) for any other specific purposes where I have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal, tax or regulatory obligations including legal obligations under company law, tax law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including my/our financial adviser (where appropriate), regulatory bodies, taxation authorities, auditors, technology providers or to the Fund and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) For other legitimate business interests of the Fund. I/We hereby acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. I/We understand that the Fund is a data controller and will hold any personal information provided by me/us in confidence and in accordance with the Data Protection Act 1988 as amended by the Data Protection (Amendment) Act 2003. I/We consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Fund or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. I/We consent to the Fund or the Investment Manager sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/We understand that I/we have a right not to receive such information.
- I/We hereby authorize the Fund and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Fund for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- I/We shall provide the Fund, and the Administrator with any additional information which it may reasonably request in connection with tax and or/FATCA regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorize the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- I/We shall supply the Fund with executed copies of those documents attached, or referred to, in Appendix [●]<sup>2</sup> (for US and Non-US Taxpayers).
- I/We agree to provide to the Fund, and the Administrator at such times as each of them may request such declarations, certificates, self-certification forms, withholding statements or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax, FATCA and/or CRS regulations and reporting requirements). Should any

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<sup>2</sup> Appendix – Northern Trust to confirm which forms are to be provided

**Albemarle Alternative Funds Plc**  
**White Rhino Fund**  
**Eagle Fund**

information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund, or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.

- In addition to any information required to the Tax Information, I/We agree to promptly provide, and periodically update, at any times requested by the Administrator with any information (or verification thereof) the Administrator deems necessary to comply with any requirement imposed on the Fund including pursuant to tax and/or FATCA reporting requirements (including any imposed by any inter-governmental agreement or any legislation in relation to any intergovernmental agreement). This may include such information as is required to evidence the Fund's (or any accountholder in the Fund's) status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether of its account holders are US person for these purposes.
- In addition to the Tax Information, I/We agree to promptly provide, at any times requested by the Administrator, any information (or verification thereof) the Administrator deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Company to withdraw from the Fund if necessary to comply with FATCA and the IGA.
- We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorize the Fund, and the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We represent and warrant that we have any requisite consent to disclose any information to you. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and accurate Information.
- I/We hereby acknowledge that if I/we fail to provide the any information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.
- I/We hereby acknowledge that if I/we fail to provide the any information and such failure results in the Fund being unable to comply with the IGA, the Investment Manager may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge 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 by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- I/We hereby acknowledge that there will be no dividend distributions in respect of my shares in the Sub-Fund(s) and that any income and capital gains arising in respect of my shareholding will be re-invested in the Sub-Fund(s) and reflected in its Net Asset Value per Share.
- As of the date of latest Prospectus, no notification has been made to the any EU competent authority of the Company's intention to market the Shares in the EU in accordance with Article 42 of AIFMD. Accordingly, you acknowledge and agree that you have expressly requested a copy of this Prospectus, and you will not subscribe to Shares in any Fund of the Company if you did not make such a request at your own initiative.
- For UK based investors, I/We hereby acknowledge that no notification has been made to the UK Financial Conduct Authority of an intention to market the Shares in the UK in accordance with Article 59 of the Alternative Investment Fund Managers Regulation 2013/1773. I/We hereby acknowledge and agree that I am making this subscription on my own initiative, without solicitation by the Fund or its agents and where information was provided, that it was expressly requested by me. I/We hereby agree to indemnify the Fund and agree to keep the Fund fully indemnified against any loss of any nature whatsoever arising as a result of its reliance on this statement.
- I/We hereby confirm that:
  - I/we had initiated the discussions, correspondence or other communications with the Company and/or the Investment Manager, which resulted in it making a decision to subscribe to the Fund and that, at no time, did the Investment Manager, the Company or their affiliates, representatives or agents offer shares in the Fund or solicit, recommend, advise or request that it subscribe to the Fund; and
  - any information provided by the Investment Manager, the Company or their affiliates, representatives or agents in respect of the Fund was specifically requested by the Applicant (or the person making the decision to subscribe to the Fund) at its initiation and the Applicant has provided a written confirmation to this effect prior to the provision of such information on each occasion; and
  - that the Fund is not registered for sale pursuant to AIFMD or otherwise pursuant to local law.

**Qualifying Investor Representations**

**Investors are required to be a Qualifying Investor as defined in the Central Bank of Ireland's Alternative Investment Fund Rulebook (as amended from time to time) in order to purchase Shares in the Fund. The Qualifying Investor definition is set out in the Central Bank of Ireland's Alternative Investment Fund Rulebook (as amended from time to time) and the Prospectus.**

I/We represent and certify that I/we are (please mark one the boxes below "✓" as appropriate):

**\*\*(a) or (b) and (c) must be completed\*\***

- (a) an investor who is a professional client within the meaning of Annex II of the Markets in Financial Instruments Directive (2004/39/EC) as amended ("MiFID") **OR**

**Albemarle Alternative Funds Plc**  
**White Rhino Fund**  
**Eagle Fund**

- (b) an investor who has received an appraisal from an EU credit institution, a MiFID firm or a UCITS management company that the investor has the appropriate expertise, experience and knowledge to adequately understand the investment in the Company **OR**
- (c) an investor who certifies that they are an informed investor by providing the following:
- (i) confirmation that the investor has such knowledge of and experience in financial and business matters as would enable the investor to properly evaluate the merits and risks of the prospective investment (such confirmation is hereby provided and declared to be in writing for the purposes of the Central Bank of Ireland's Alternative Investment Fund Rulebook); or
- (ii) confirmation that the investor's business involves, whether for its own account or the account of others, the management, acquisition or disposal of property of the same kind as the property of the Company (such confirmation is hereby provided and declared to be in writing for the purposes of the Central Bank of Ireland's Alternative Investment Fund Rulebook).
- (d) an investor who satisfies the conditions of a Knowledgeable Employee, as defined in the Prospectus, by providing the following:
- (i) confirmation that they are availing of the exemption from the Minimum Initial Subscription requirement of €100,000 on the basis that they are a "Knowledgeable Employee" as defined above.
- (ii) confirmation that they are aware that each Fund is normally marketed solely to Qualifying Investors who are subject to a Minimum Initial Subscription of €100,000.
- (iii) confirmation that they are aware of the risk involved in the proposed investment; and
- (iv) confirmation that they are aware that inherent in such investment is the potential to lose all of the sum invested.
- I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or biannual report (if available) thereto.
- I/We certify that I am a/we are eligible to invest in the Fund and I am/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any Shares which I/we may purchase to any person or entity who/which is not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Application Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.
- I/We agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator and the Fund indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.
- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- I/We acknowledge the right of Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- **U.S. Person Representations**
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- Please **tick** (✓) as appropriate:
- (a) I am a U.S. Person (as defined in Appendix 3) and have completed the Application Form for applicants who are U.S. Persons; or
- (b) I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular:

- (i) I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person;
- (ii) I am not/none of us is a U.S. Person; and
- (iii) I am not/none of us is acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.
- (c) I/We will hold Shares on behalf of a U.S. Taxpayer (as defined below).

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

> Yes                      No                      *(please tick the appropriate box)*

                    

If the "yes" box is ticked, then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Fund with such additional tax information as it may from time to time request.

\*"U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

> I/We declare that the entity hereby subscribing for Shares is neither a Benefit Plan Investor nor investing on behalf of or with any assets of a Benefit Plan Investor as defined below. (Benefit Plan Investors should contact the Fund.) "Benefit Plan Investor" is used as defined in U.S. Department of Labor ("DOL") Regulation § 2510.3-101(f)(2), and includes

- >
- (i) any employee benefit plan (as defined in Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended ("ERISA")), whether or not such plan is subject to Title I of ERISA (which includes both U.S. and non-U.S. plans, plans of governmental entities as well as private employers, church plans, and certain assets held in connection with nonqualified deferred compensation plans);
  - (ii) any plan described in Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the "Code") (which includes a trust described in Code Section 401(a) which forms a part of a plan, which trust or plan is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Section 408 or 408A or an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d) and an education savings account described in Code Section 530); and
  - (iii) any entity whose underlying assets include plan assets by reason of a plan's investment in the entity (generally because 25 per cent. or more of a class of interests in the entity is owned by plans). Benefit Plan Investors also include that portion of any insurance company's general account assets that are considered "plan assets" and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.

> If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association ("NFA"), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.

> **Investment Company Representations**

> **\*\* (a) or (b) must be completed \*\***

- (a) I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the "1940 Act"), nor an issuer that, but for an exception from the definition of "investment company" under the 1940 Act, would be an investment company,
- (b) I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.

I/We have                      U.S. Person beneficial owner(s).

*(State the number, not the percentage, of U.S. Person beneficial owners. Investment companies with U.S. Person beneficial owners must contact the Administrator.)*

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

**AEOI/FATCA/CRS**

In relation to the automatic exchange of information for tax matters (collectively "AEOI"), we are obliged to collect certain information about each account holder's tax status. Please provide a completed relevant self-certification form below dependent on the jurisdiction of the fund you are investing into and include any additional requested information. Please note that we may be obliged to share this information with relevant tax authorities.

If any of the information below regarding your tax residence or AEOI classification changes in the future, please ensure you advise us of these changes promptly.

For further information on CRS please refer to the OECD automatic exchange of information portal:

<http://www.oecd.org/tax/automatic-exchange/>

In addition, please supply any US tax form (Form W8/W9) you may have in conjunction with the supply of the relevant self-certification form.

**[Irish Funds - Entity Self-Cert](#)**

**[Irish Funds - Individual Self-Cert](#)**

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

**Investment Undertaking Tax - Declaration of Residence**

**Declaration of Residence inside or outside Ireland (OWN BEHALF ONLY)**

Please tick (i), (ii) or (iii) as appropriate

(i) Irish residents

I am/we are an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.*

OR

(ii) Exempt Irish residents

I am/we are an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *If this box is ticked, please also complete the declaration of exempt Irish residents below.*

OR

(iii) Non-Irish residents

I am/we are not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *If this box is ticked, please also complete the declaration of residence outside Ireland below.*

**Declaration of Residence for the beneficial owner inside or outside Ireland (INTERMEDIARIES ONLY)**

Please tick (i), (ii) or (iii) as appropriate

(i) Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the units is an Irish resident who will cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *Irish resident companies entitled to the lower rate of Investment Undertaking Tax are required to provide a statement on its letterhead confirming that the company is within the charge of corporation tax.*

OR

(ii) Exempt Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is an Irish resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *If this box is ticked, please also complete the declaration of exempt Irish residents below.*

OR

(iii) Non-Irish residents

As an Intermediary, I/we declare that the person who will be beneficially entitled to the shares/units is not currently resident or ordinarily resident who will not cause the Fund to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. *If this box is ticked, please also complete the declaration of residence outside Ireland below.*

Authorized signatory: \_\_\_\_\_

Authorized signatory: \_\_\_\_\_

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Declaration of exempt Irish resident entities**

Declaration referred to in Section 739D (6),  
Taxes Consolidation

[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.]

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

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

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

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

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

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

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

\*Delete as appropriate

Additional requirements where the declaration is completed by an Intermediary

- I/we\* also declare that I am/we are\* applying for shares/units on behalf of persons who
  - to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the shares/units in respect of which this declaration is made, and
  - is a person referred to in section 739D(6) TCA 1997.
- I/we\* further 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 persons referred to in section 739D TCA 1997, and
  - I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D (6) TCA 1997.

\* Delete as appropriate

Name of applicant: \_\_\_\_\_

Irish tax reference number of applicant: \_\_\_\_\_

Authorized signatory: \_\_\_\_\_ (declarant)

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

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

Authorized signatory: \_\_\_\_\_(declarant)

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

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**IMPORTANT NOTES**

1. This is a form authorized by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
2. Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the share/units.
3. In the case of, (i) an exempt pension scheme, the administrator must sign the declaration; (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration; (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorized officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorized officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorized officer of the entity concerned or a person who holds a power of attorney from the entity. A copy of the power of attorney should be furnished in support of this declaration.

**Declaration of residence outside Ireland**

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.

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.

\*Delete as appropriate

Name and address of applicant: \_\_\_\_\_  
\_\_\_\_\_

Signature of applicant or authorized signatory: \_\_\_\_\_ (declarant)

Capacity of authorized signatory (if applicable): \_\_\_\_\_

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

Joint Applicants:

Names: \_\_\_\_\_ Signatures: \_\_\_\_\_

\_\_\_\_\_

**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.
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 Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the declaration.

**Albemarle Alternative Funds Plc  
White Rhino Fund  
Eagle Fund**

**Appendix 1**  
**Anti-Money Laundering (AML) due diligence requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2018.**

- **Guide to completing this form.**

**Part I** – To be completed by all applicants.

**Part II** – To be completed by all applicants.

**Part III** - Please provide the due diligence documentation outlined in this section.

- 
- **Certification of Documents – Required for High Risk countries**

Certified copies of personal identification documents and corporate documentation are required for certain identified investors. Documents must be a ‘certified true copy of original’.

In terms of certifying a document as a true copy, certification means that there is an original signature on the document from a suitable person that can be independently verified.

Suitable persons include:

- An authorized signatory of a Regulated Financial Institution or Credit Institution.
- An authorized signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or Practicing Solicitor.
- A Practicing Chartered or Certified Public Accountant.
- A person authorized to sign on behalf of an Embassy or a Consul.
- A practicing Barrister

Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the original document as seen by the person certifying the document.
- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

**Note 1:** Where the document, being certified as a true copy of the original document, contains a photograph, the person certifying the document as a true copy should also confirm that this a true likeness of the person named in the document.

**Note2:** For multiple page documents, the certifier should sign or initial each page of the copy and confirm on the first or last page of the document the actual number of pages in the document.

**Note3:** Where available, the statement of certification as a true copy of the sighted original should be accompanied by the professional stamp or seal of the certifier.

**Note 4:** When certifying documents as true copies, the certifier should not be a close family member of, or have any apparent or potential conflicts of interest with, the investor.

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- **English Translations**

Where due diligence documents are provided in a language other than English, the prospective investor should, at the same time, provide a relevant extract translated by an independent source also confirming the adequacy of the foreign language documents.

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**Due Diligence Information - Purpose of the Investment**

**Part I**

**Part I (A) to be completed only by natural persons and legal persons investing in their own name for their own benefit. Institutional investors and legal entities investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties must tick Part I (B). This information is required to meet our AML obligations under the current AML legislation in Ireland and will be used solely for those purposes.**

A. What is the expected annual subscription to the Fund  
\_\_\_\_\_

How frequent do you expect to trade in the Fund (please tick): Once-Off Subscription   
Once a: Month  Quarter  Year

If more frequently than the options provided, please provide an estimate of frequency:  
\_\_\_\_\_

Please indicate the term of your investment (please tick): 3-5 years  5-10 years  10+ years

Natural Persons only:

Source of Wealth (activities that generated total net worth): \_\_\_\_\_

*\*Confirmation of Source of Wealth requires the Subscriber to confirm the bank account from which funds were generated as well as the specific activity that generated the funds subscribed (e.g. salary payments, sale of shares etc.)*

Source of Funds (activity that generated transaction funding): \_\_\_\_\_

*\*Confirmation of Source of Funds requires the Subscriber to confirm the activities that have generated the total net worth of the Subscriber with reasonable collaboration of same (e.g. information and documents such as evidence of title; copies of trust deeds; audited accounts and tax returns).*

B. Institutional investor/ legal entity investing as part of their normal economic activity of investing in their own name for the benefit of one or more third parties. If no, see Part 1 (A). Yes No

**Due Diligence Documentation- Investor Type**

**Part II**

**Please tick investor type below (Please note, investor type indicates the documents/ confirmations required to open account):**

- |   |                          |                                   |                          |
|---|--------------------------|-----------------------------------|--------------------------|
| Private/ Unlisted Company                 | <input type="checkbox"/> | Charities                         | <input type="checkbox"/> |
| Partnership                               | <input type="checkbox"/> | Trusts/ Foundations               | <input type="checkbox"/> |
| Listed Company                            | <input type="checkbox"/> | Collective Investment Scheme/Fund | <input type="checkbox"/> |
| Subsidiary of a Listed Company            | <input type="checkbox"/> | School, college, or university    | <input type="checkbox"/> |
| Regulated Credit or Financial Institution | <input type="checkbox"/> | Pension Schemes                   | <input type="checkbox"/> |
| Nominee Company                           | <input type="checkbox"/> | Trade Unions                      | <input type="checkbox"/> |
| Government Body or Public Authority       | <input type="checkbox"/> | Church                            | <input type="checkbox"/> |
| Individual                                | <input type="checkbox"/> | Other- Please specify: _____      | <input type="checkbox"/> |

Occupation/Business Activity: \_\_\_\_\_

If you, or any beneficial owners, are a Politically Exposed Person. Yes  No

*A Politically Exposed Person ('PEP') means an individual (or family member or close associate of such individual) including a beneficial owner of an investment account, who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function (e.g. this can include but not limited to: head of state/ government, government / deputy minister, member of parliament, senior official of a political party or member of the supreme court).*

If the application form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature along with due diligence in line with legal type.

**Due Diligence Documentation- Leverage Across Investments**

I hereby authorize the administrator to leverage the due diligence documentation provided for the purposes of compliance with applicable regulatory requirements across all investments which I currently hold/ may hold in the future across all funds

which are administered by the administrator.

Yes No

**Due Diligence Documentation- Ultimate Beneficial Owner**

Please complete the relevant section to your entity type. The Ultimate Beneficial Owner section must be completed. Non-completion could delay acceptance of subscription.

**Corporate Entities**

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

\* In cases where shareholder(s) are entities with 25% or more ownership or control, please provide the details of Individual(s) who hold beneficial ownership 25% or more. For Trusts or similar arrangements, Ultimate Beneficial Owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement.

Please complete the below regarding Ultimate Beneficial Owner(s):

Name	Address	% Ownership or control	Nationality	Date of Birth

For Trusts or similar arrangements, where the beneficiaries are not yet been determined, the class of persons in whose main interest the trust or similar legal arrangement has been set up should be stated (please provide an additional document/information as required):

[Empty rectangular box for providing additional information]

**Note:** If there is/ are no Individual(s) with a beneficial interest of 25% or more (either directly or indirectly) of the shares or voting rights of the entity, or anyone that otherwise exercises control of the entity (where applicable), please check the box.

Declaration - 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 1 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

Signature 2 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

### Related Person Detail

Full names of all Related Persons:

- In the case of natural persons, Related Persons means any person authorized to act on behalf of the investor
- In the case of a company, Related Persons means the directors.
- In the case of a Partnership, Related Persons means the partners.
- In the case of a limited liability company (LLC), Related Persons means the managing members.
- In the case of a trust, foundation or similar legal arrangement, Related Persons means the trustees.
- In the case of a charity/government body/ university/ school/ college/ club/ society, Related Persons means the authorizing officers/ board members/ officials.

Please complete the below:

Name	Address	Nationality	Date of Birth

### Due Diligence Documentation- Requirements

#### Part III

Outlined below is guidance on the documentation which the Fund/ICAV/ Manager & Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk.

**The Fund/ICAV/ Manager & Northern Trust (as Administrator) hereby reserves the right to request such further information and/or documentation from investors as is necessary from time to time to satisfy Irish regulatory requirements.**

Examples of Photographic Identity Documentation (for verification purposes):

- Current passport.
- Current driving licence.
- Current national identity card.
- Identity document with photographic identity issued by a government department.

Examples of Proof of Address (for verification purposes):

- Bank statements/credit card statements.
- Utility bill.
- Household/motor insurance certificate and renewal notices.
- Correspondence from local authorities.
- Correspondence from the revenue commissioners or equivalent.
- Correspondence from any government body.
- Driving licence which confirms the address provided it has not also been used to satisfy the photographic identity requirement above.
- Payslip or salary advice dated within the previous 3 months.
- Confirmation of address from a lawyer or financial institution.

**Note: All documentation must reflect the current residential address and must be dated within the previous 3 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 3 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).**

## Letter of Assurance

Please contact Northern Trust for a template letter of assurance if required.

**Note: Investors are required to notify the Fund/ICAV Manager & Northern Trust of any changes to the AML information which was previously provided (e.g. changes in directors/controllers or beneficial owners).**

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### **Equivalent Jurisdictions (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**

Australia, Austria, Argentina, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Guernsey, Hong Kong, Ireland, Isle of Man, Israel, Italy, Japan, Jersey, Luxembourg, Malaysia, Netherlands (including Aruba, Curacao and Sint Marten), New Zealand, Norway, Portugal, Republic of Korea, Singapore, South Africa, Spain, Sweden, Switzerland, United Kingdom and United States.

### **Deemed High Risk Countries**

Afghanistan, Albania, Angola, Azerbaijan, Bahamas, Belarus, Belize, Benin, Bolivia, Bosnia and Herzegovina, Botswana, Burma (Myanmar), Burundi, Cabo Verde, Cambodia, Central African Republic, Chad, China, Colombia, Comoros, Congo (Republic of the), Costa Rica, Cyprus (Greek Cypriot administered), Cyprus (Turkish Cypriot administered), Dominican Republic, Ecuador, El Salvador, Equatorial Guinea, Egypt, Ethiopia, Ghana, Guatemala, Guinea, Guinea Bissau, Guyana, Haiti, Honduras, India, Iraq, Ivory Coast (Cote d'Ivoire), Jamaica, Jordan, Kyrgyzstan, Laos, Latvia, Lebanon, Liberia, Libya, Macau, Maldives, Mali, Mauritania, Mexico, Moldova, Monaco, Montenegro, Morocco, Mozambique, Nicaragua, Nigeria, Pakistan, Palestinian Territories, Panama, Peru, Russia, Saint Kitts and Nevis, Saudi Arabia, Senegal, Serbia, Sierra Leone, Somalia, South Sudan, Sudan, Sri Lanka, Swaziland, Tanzania, Tunisia, Trinidad and Tobago, Turkey, Uganda, United Arab Emirates, Uzbekistan, Vanuatu, Venezuela, Vietnam, Yemen and Zimbabwe.

**Note: Northern Trust reviews the risks associated with all locations on a regular basis. The risk associated with a location may change over time. Northern Trust reserves the right to apply a different risk rating than shown in this document.**

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### **Regulated Credit or Financial Institution**

**Where the applicant is a Regulated Credit or Financial Institution in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Proof of regulation.
2. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity must be identified (along with address, date of birth and nationality).

**Where the applicant is a Regulated Credit or Financial Institution but is not regulated in an Equivalent Jurisdiction, please provide the following:**

1. Full name of the company
2. Registered number of the company
3. Registered office address & principal business address of the company,
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity must be identified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors; and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

7. Verification of identity of the company from:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the Certificate of Incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required**

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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**Nominee Company**

**Where the applicant is a Regulated Nominee Company from one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Proof of regulation.
2. A letter of assurance from the regulated nominee company
3. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the parent entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).\_\_

**Where the applicant is 1) not directly regulated and 2) a wholly owned subsidiary of a regulated parent entity (in an Equivalent Jurisdiction), please provide the following:**

1. Letter of Assurance from the Regulated Credit or Financial Institution (Parent Company).
2. Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).

**Alternatively, where an acceptable AML letter of assurance can't be provided by the regulated parent company with respect to the nominee company, please provide the following:**

1. Full name of the nominee company.
2. Registered number of the nominee company.
3. Registered office address & principal business address of the nominee company.
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorized signatory.
5. Proof of regulation for the Regulated Parent Company.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity (investor) must be identified.

Note: Where the nominee company is not a subsidiary of a regulated parent company, verify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable), identify and verify any beneficial owner entitled to 25% or more of the investment through the nominee company.

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

8. Verification of identity of the company from:
  - Extract from the relevant company registry providing details of the nominee company; and/or
  - Copy of the Certificate of Incorporation or equivalent of the nominee company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the nominee company; and/or
  - Copy of the latest audited financial statements of the nominee company.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
10. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Listed Company**

**Where the applicant is a Listed Company on a regulated market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:**

1. Please provide proof of listing on a Regulated Market.

**Where the applicant is not a Listed Company on an above referenced regulated market, please provide the following:**

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered office address & principal business address of the company.
5. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorized signatory.
6. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity must be identified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.

Note: Where the beneficial owner of the investment or the company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

8. Verification of identity of the company from:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the Certificate of Incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

9. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.
10. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Subsidiary of a Listed Company**

**Where the applicant is a Subsidiary of a Listed Company on a regulated market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions), please provide the following:**

1. Proof of listing for the listed parent company on a Regulated Market (E.g. a regulated market that subjects companies, whose securities are admitted to trading, to disclosure obligations which are consistent with the Legislation of the European Communities- see above Equivalent Jurisdictions).
2. Evidence of ownership by the listed company.
3. Identify the beneficial owner(s) including the natural person(s) who hold the position of director(s) of the entity (investor) must be identified (along with address, date of birth and nationality).

**Where the parent company is not a Listed Company on an above referenced regulated market, please provide the following:**

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered office address & principal business address of the subsidiary company.
4. Details of directors of the company and verify the identity of two directors, or where applicable, one director and one authorized signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity must be identified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any beneficial owner entitled to 25% or more of the investment.

Note: Where the beneficial owner of the investment or the subsidiary company is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

7. Verification of identity of the company from:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the Certificate of Incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
9. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and verify the identity of any beneficial owner entitled to more than 10% of the investment.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Government / Public Body**

**Where the applicant is a Government/ Public Body in Ireland, please provide the following:**

1. Please provide background information sourced from a reliable source (e.g. copy of the legal instrument establishing the government body/public authority and listing the names of key officials).

**Where the applicant is not a Government Body or Public Authority in Ireland, please provide the following:**

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered office address.
4. Name of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Evidence of ownership of the public authority.
6. Names of the main officials of the government body or public authority and verify the identity of two officials or, where applicable, one official and one authorized signatory.
7. Appropriate background information on the government body or public authority.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of at least two directors or, where applicable, one director and one authorised signatory.
9. Certified copy of the audited financial statements of the government body or public authority.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Pension Scheme**

**Where the applicant is an Employee/Superannuation or similar scheme in one of the above referenced Equivalent Jurisdictions, please provide the following confirmations from the trustees of the scheme:**

1. Confirmation that the Employee/Superannuation (or similar scheme) provides for retirement benefits to employees.
2. Confirmation that contributions of the Employee/Superannuation scheme are made by deduction from wages.
3. Confirmation that the rules of the Employee/ Superannuation scheme do not permit a member's interest under the scheme to be re-assigned.

Note: The above can be confirmed through constitutional documentation of the scheme or through receipt of written confirmation from the trustees of the scheme.

**Where the applicant is not an Employee/ Superannuation or similar scheme in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Full name of the pension scheme.
2. Registered office address of the pension scheme
3. One of the following:
  - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.Or
  - Identity of the controllers (trustees/ directors/ governors /board members or equivalent) of the scheme; and
  - Constitutional/Formation Document (e.g. Trust Deed); and
  - Appropriate background information.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

4. Identify and verify the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); or
5. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Collective Investment Scheme**

**Where the applicant is a Collective Investment Scheme ('CIS') regulated as a designated person or listed on a regulated financial market in one of the above referenced Equivalent Jurisdictions, please provide the following:**

1. Please provide proof of regulation/ listing.

**Where the CIS is not either listed on a regulated financial market (as above) or regulated as a designated person in one of the above referenced Equivalent Jurisdictions, please provide the following :**

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent.
4. Name and address of the scheme promoter.
5. Name and address of the scheme administrator.
6. Name and address of the entity carrying out due diligence on the investors in the CIS and confirmation that this entity is regulated for AML purposes.
7. Names of any investors (beneficial owners) in the CIS who own 25% or more (directly or indirectly) of the share capital. Where CIS is a corporate body and there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity (investor) must be identified

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; or
9. Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence.

**Where the applicant is domiciled in an high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Individuals (including Joint Account Holders)**

**Where the applicant is an Individual, please provide the following documentation :**

1. Photographic identity document.
2. Proof of address.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

3. Confirmation of Source of Funds.
4. Confirmation of Source of Wealth.

**In the case of joints account holders, please provide documents in respect of all holders.**

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Private and Unlisted Company**

**Where the applicant is a Private Company/ Company not listed on a regulated financial market, please provide the following:**

1. Full name of the company.
2. Registered number of the company.
3. Registered office address & principal business address of the company.
4. Details of the directors of the company and verify the identity of at least two directors or, where applicable, one director and one authorized signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity (investor) must be identified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. reflecting the ownership and control structure).

Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

6. Verification of identity of the company from:
  - Extract from the relevant company registry providing details of the Company; and/or
  - Copy of the Certificate of Incorporation or equivalent of the Company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the Company; and/or
  - Copy of the latest audited financial statements of the Company.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

7. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Limited Liability Company**

**Where the applicant is a Limited Liability Company (LLC), please provide the following:**

1. Full name of the LLC.
2. Registered office address & principal business address of the LLC.
3. Identify all managing members
4. Verify the identity of at least two managing members or, where applicable, one managing member and one authorised signatory.
5. Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of director(s) of the entity must be identified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc.).

Note: Where the beneficial owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.

6. Constitutional document for the LLC (e.g. Certificate of Formation).
7. Operating agreement for the LLC

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Partnership**

**Where the applicant is a Partnership, please provide the following:**

1. Full name of the partnership.
2. Registered office address & principal business address of the partnership.
3. Identify all partners.
4. Verify the identity of all partners who own 25% or more (directly or indirectly) of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund.
5. Verify the identity of the general partner and a second partner (or in the absence of same an authorised signatory).

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. [reflecting the direct and/ or indirect ownership and control structure](#)).

6. Constitutional document for the Partnership (e.g. Partnership Agreement).

**Where the applicant is not a Partnership Fund or located in one of the aforementioned deemed high risk jurisdictions, the following is also required:**

7. Identify and verify the identity of at least two partners or, where applicable, one partner and one authorized signatory.
8. Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the partnership.

**Where the applicant not a Partnership Fund or is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Trust**

**Where the applicants are Regulated Trustees investing on behalf of a Trust or similar entity, please provide the following (only applicable for Trustees not located in a high-risk jurisdiction):**

1. Full name of trust.
2. Country of establishment of trust.
3. Legal form of the trust.
4. Trust deed or equivalent or confirmation of the trust etc. by reference to an appropriate register.
5. Confirmation of the nature/purpose of the trust.
6. Identify all Trustees and verify the identity of at least two trustees where applicable.
7. Identify the settlor and verify the settlor.
8. Identify and verify the protector.
9. Identify all beneficiaries or the class of beneficiary beneficially entitled to trust's assets or the beneficial interest (Note: Verification of the beneficiaries may be required by the administrator to the extent warranted by the risk).

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. [reflecting the direct and/ or indirect ownership and control structure](#)).

**Where the applicants are not Regulated Trustees investing on behalf of a Trust, or where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

10. Verify the identity of the beneficiaries beneficially entitled to trust's assets or beneficial interest.
11. Confirmation as to how the settlor was in a position to make the investment.
12. Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual)

**Where the applicants are not Regulated Trustees investing on behalf of a Trust or where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Foundation**

**Where the applicants are Regulated Trustees investing on behalf of a Foundation, please provide the following (only applicable for Trustees not located in a high-risk jurisdiction):**

1. Full name of the foundation.
2. Registered address of the foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents equivalent **OR** confirmation of the foundation by reference to an appropriate register.
5. Identify and verify the founder, and the nature/purpose of the foundation.
6. Identify all trustees, and verify the identity of two trustees, where applicable. Identify any beneficiary beneficially entitled to 25% or more of the foundation's assets.
7. Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organization chart signed by an authorized signatory or shareholder register or other company documentation etc. reflecting the direct and/ or indirect ownership and control structure).

**Where the applicants are not Regulated Trustees investing on behalf of a Foundation or similar entity, or where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of the founder.
9. Confirmation of the funding of the foundation.
10. Identify and verify the identity of the beneficiaries who hold more than 10% of the beneficial interest.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Charity**

**Where the applicant is a registered Charity, please provide the following:**

1. Full name of the charity.
2. Nature/purpose of the charity
3. Nature and source of funding of the charity
4. Registered office address & principal business address of the charity.
5. Names of all trustees/directors (or equivalent) of the charity.
6. Identify and verify the identity of the company secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. (If a charitable trust), details of the settlor of the charitable trust.
8. Names or classes of persons who stand to benefit from the objects of the charity.
9. Copy of relevant charities register or confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/ HMRC).

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

**Where the applicant is not a registered Charity or where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

10. Certified copies of the audited financial statements.

11. Identify and verify the identity of at least two trustees /directors/governors/ board members or, where applicable, one trustee /director/governor/ board member/ company secretary and one authorized signatory of the charity.
12. Certified constitutional/ formation document of the charity.
13. Identify and verify the identity of the beneficiaries (where ascertainable) of the charity.
14. Identify and verify the settlor, where applicable.

**Note: Where the applicant is not a registered Charity, documentation provided should be certified as true copies of the original documentation.**

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### **Club or Society**

**Where the applicant is a Club or Society, please provide the following:**

1. Full name of the club/society.
2. Registered office address & principal business address of the club/society.
3. Confirmation of the legal status of the Club/Society.
4. Nature/Purpose including the nature of funding of the club/society.
5. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available) or confirmation of a relevant club/ society register.
6. List of officers of the club/society.
7. Verify the identity of two officers of the Club/Society authorised to operation on behalf of the club/society or, where applicable, one officer and one authorised signatory.
8. Names or classes of persons who stand to benefit from the Club or Society.

Note: Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

9. Audited financial statements for the Club/Society.
10. Constitutional/ formation document of the club/society
11. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.
12. Confirmation of the funding of the club or society.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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### **School, College or University**

**Where the applicant is a School, College or University, please provide the following:**

1. Full name of the School, College or University.
2. Registered office address & principal business address of the School, College or University.
3. Confirmation of a relevant School, College or University register or appropriate background information.
4. Names of main officials of the school.
5. Identify and verify the identity of at least two officials or, where applicable, one official and one authorised signatory.
6. Details of ownership of the entity. In particular, confirmation if in public ownership or independent. Where independently owned, identify and verify all persons who own or control 25% or more of the entity's share capital, profit or voting rights.
7. Identify and verify the settlor, where applicable.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

8. Identify and verify the identity of all persons who own or control over 10% of the entity's share capital, profit or voting rights.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, documentation should be certified as true copies of the original.**

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## **Church**

**Where the applicant is a Church, please provide the following:**

1. Full name of the Church.
2. Registered office address & principal business address of the church.
3. Confirmation of the nature/purpose of the Church with details of how the Church is funded.
4. Confirmation of a relevant church register or a copy of the revenue approval for the church.
5. Names of all trustees/directors (or equivalent) of the church.
6. Identify and verify the identity of the church secretary or equivalent or, where applicable, verify the identity of one of the trustees.
7. Names or classes of persons who stand to benefit from the objects of the church (where ascertainable).
8. Identify and verify the settlor where applicable.
9. Where there is a named individual beneficiary with a 25% interest or more, the beneficiary will need to be verified.

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

10. Audited financial statements for the church.
11. Constitutional/formation document of the church.
12. Identify and verify the identity of either two trustees /directors/governors/ board members or one trustee/ director/governor/board member and one authorized signatory of the church.
13. Identify and verify the beneficiaries (where ascertainable)

**Where the applicant is domiciled in an high-risk jurisdiction, documentation should be certified as true copies of the original.**

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## **Trade Union**

**Where the applicant is a Trade Union, please provide the following:**

1. Full name of the Trade Union.
2. Registered address of the trade union.
3. Establish whether the trade union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. Consider the legal form of the trade union, its stated purpose, aims and objectives using information from documents supplied for the trade union and through internet searches.
5. Deed or equivalent establishing the existence of the trade union (for example its constitution, byelaws, rules).
6. Identify all persons and their functions who are empowered to make the investment on behalf of the trade union (president, secretary, treasurer and other senior committee members).

**Where the applicant is domiciled in an aforementioned high-risk jurisdiction, the following is also required:**

7. Identify and verify the identity of at least two senior committee members of the trade union

**Where the applicant is domiciled in an high-risk jurisdiction, documentation should be certified as true copies of the original.**

## Appendix 2

### Data Privacy Notice

In accordance with 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) (collectively, "**Data Protection Legislation**"), the Company being the data controller for the purposes of this application to subscribe for Shares in the Company, must provide you with information on how the personal data that you provide as part of your application to subscribe for Shares will be processed.

Where your details are provided to the Company as a consequence of your investment in the Company, then the Company, acting as a data controller may itself (or through a third party such as the Administrator (acting in its capacity as the Company's administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as a data controller. In connection with this, please note the following:

#### **A. Contact details**

The Company, as data controller, has appointed the Administrator as a data processor. The Company can be contacted via the Administrator at the following address:

##### **Administrator**

##### **Northern Trust International Fund Administration Services (Ireland) Limited**

2nd Floor, Block A, City East Plaza,  
Towlerton,  
Ballysimon,  
Limerick,  
V94 X2N9,  
Ireland  
Telefax: 353-1-434 5286  
Telephone: 353-1-434 5007  
Email Enquiries: [albemarle.ta\\_queries@ntrs.com](mailto:albemarle.ta_queries@ntrs.com)

#### **B. 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 may be processed by the Company or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

##### *Performance of the contract*

- (a) to facilitate the opening of your account with the Company, the management and administration of your holdings in the Company and any related account on an on-going basis (the "**Services**") which are necessary for the performance of your contract with the Company, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- (b) to update and maintain records and fee calculation;
- (c) circulating periodic reports relating to the Company.

##### *Compliance with a legal obligation*

- (a) in order to carry out anti-money laundering checks and related actions which the Company considers appropriate to meet any legal obligations imposed on the Company relating to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) to report tax related information to tax authorities in order to comply with a legal obligation.

##### *Pursuing the legitimate interests of the Company including:*

- (a) in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company's and the Administrator's anti-money laundering procedures;
- (b) carrying out statistical analysis and market research.

- (c) recording, maintaining, storing and using recordings of telephone calls that you make to and receive from the Company, the Administrator, or the AIFM and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Company and its affiliates' rights itself or in order to comply with any legal obligation imposed on the Company, (v) to pursue the Company's legitimate interests in relation to such matters or (vi) where the processing is in the public interest.
- (d) to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery.
- (e) to disclose information to other third parties such as service providers of the Company, auditors, regulatory authorities and technology providers.
- (f) to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's and its clients' legitimate interests.

**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 will no longer process the personal data unless the Company can demonstrate compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

#### *Consent*

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes of direct marketing, the Company seeks your consent. Please see the section below which deals exclusively with consent for that purpose.

#### **C. Consent to Direct Marketing**

From time to time, one or more of the Company and/or its delegates (which may include, without limitation, the Administrator, the AIFM and the Depositary may send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication. You have a right not to receive such information.

If you consent to receive such information and/or marketing material, **please tick (☐) here**

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Company c/o the Administrator at the address above. You also have a right object to the processing of your personal data for direct marketing purposes.

#### **D. Profiling and Screening**

The Company and its appointed data processors engage in OFAC and politically exposed person screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

#### **E. Disclosures to Data Processors and / or Third Parties**

The Company may disclose your personal information as follows:

- (a) to third parties identified in the Prospectus and to entities that are companies within the same group of companies as such third parties in order to process the data for the above-mentioned purposes. These third parties will handle your information in accordance with applicable Data Protection Legislation.
- (b) to other third parties such as the auditors to the Company or agents of the Administrator who process the information for anti-money laundering purposes or for compliance with foreign regulatory requirements; and
- (c) to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

#### **F. Transfers Abroad**

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the GDPR. Such countries may not have the same data protection laws as your jurisdiction. The Company has authorized the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred.

Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Company.

#### **G. Retention period**

The Company and the Administrator will retain your personal information for as long as required for the Company or the Administrator to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Company retains your personal information.

#### **H. Your data protection rights**

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

- (a) You have a right of access to and the right to amend and rectify your personal data.
- (b) You have the right to have any incomplete personal data completed.
- (c) 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 Company infringes the GDPR.
- (d) You have a right to request that your personal information is erased (in certain specific circumstances).
- (e) You have a right to restrict processing (in certain specific circumstances).
- (f) You have a right to data portability (in certain specific circumstances).
- (g) You also have the right to object to processing where personal data is being processed for marketing purposes and also where the Company is processing personal data for legitimate interests.

#### **I. Failure to provide personal data**

The provision by you of personal data, as outlined in the section above titled "Purposes of processing and legal basis for processing" is required for us to accept your subscription application and manage and administer your holdings in the Company and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided within the specified timeframe we may be required to discontinue our business relationship with you.

**SIGNATURE**

€ I / We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief. I/we certify that: (i) I/we meet the minimum criteria for a Qualifying Investor as detailed above and as described in the Prospectus; (ii) I am/we are aware of the risk involved in the proposed investment; (iii) I am / we are aware of the fact that inherent in such investments is the potential to lose all of the sum invested; and  
€ (iv) I/we agree to all the representations, warranties and covenants herein.

DATE: \_\_\_\_\_

SIGNED

SIGNATORY CAPACITY IF APPLICABLE (I.E. DIRECTOR/MANAGER)

1. \_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

3. \_\_\_\_\_

\_\_\_\_\_

4. \_\_\_\_\_

\_\_\_\_\_

**IN THE CASE OF ALL JOINT HOLDERS – ALL HOLDERS MUST COMPLETE THIS DECLARATION**

## Appendix 3 Definitions

"**AIFMD**" means Directive 2011/61/EU of the European Parliament and of the Council of 8 June 2011 on Alternative Investment Fund Managers and amending Directives 2003/41/EC and 2009/65/EC and Regulation (EC) No 1060/2009 and (EU) No 1095/2010.

"**United States**" means the United States of America, its territories and possessions, any state of the United States, and the District of Columbia.

"**U.S. person**" means:

Any natural person resident in the United States.

Any partnership or corporation organised or incorporated under the laws of the United States; Any estate

of which any executor or administrator is a U.S. person.

Any trust of which any trustee is a U.S. person.

Any agency or branch of a non-United States entity located in the United States.

Any non-discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary for the benefit of a U.S. person.

Any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organised, incorporated, or (if an individual) resident in the United States; and

Any partnership or corporation if: (A) organised or incorporated under the laws of any jurisdiction other than the United States; and (B) formed by a U.S. person principally for the purpose of investing in securities not registered under the United States Securities Act of 1933, as amended unless it is organised or incorporated, and owned, by "accredited investors" (as defined in Rule 501(a) under the United States Securities Act of 1933, as amended) who are not natural persons, estates or trusts.

Notwithstanding the foregoing paragraphs (i) through (viii):

- any discretionary account or similar account (other than an estate or trust) held for the benefit or account of a non-U.S. person by a dealer or other professional fiduciary organised, incorporated, or (if an individual) resident in the United States shall not be deemed to be a "U.S. person";
- any estate of which any professional fiduciary acting as executor or administrator is a U.S. person shall not be deemed to be a "U.S. person" if: (i) an executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate; and (ii) the estate is governed by laws other than those of the United States;
- any trust of which any professional fiduciary acting as trustee is a U.S. person shall not be deemed to be a "U.S. person" if a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets, and no beneficiary of the trust (and no settlor if the trust is revocable) is a U.S. person;
- an employee benefit plan established and administered in accordance with (i) the laws of a country other than the United States and (ii) the customary practices and documentation of such country, shall not be deemed to be a "U.S. person"; and
- any agency or branch of a U.S. person located outside the United States shall not be deemed a "U.S. person" if: the agency or branch (i) operates for valid business reasons, (ii) is engaged in the business of insurance or banking, and (iii) is subject to substantive insurance or banking regulation, respectively, in the jurisdiction where located.

Further, none of the International Monetary Fund, the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, the African Development Bank, the United Nations, or their agencies, affiliates and pension plans, or any other similar international organization, or its agencies, affiliates and pension plans, shall be deemed to be a "U.S. person".

"**U.S. Taxpayer**" includes a U.S. citizen or resident alien of the United States (as defined for U.S. federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organized in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person." For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer."