

SARASIN INVESTMENT FUNDS LIMITED
SARASIN FUNDS ICVC APPLICATION FORM
SOUTH AFRICAN INDIVIDUAL INVESTOR

SARASIN

Sarasin Funds ICVC (the "Company") is offering shares in the Funds listed below to investors in accordance with the terms of the current prospectus of the Company (the "Prospectus") and the terms of subscription set out below. Unless otherwise defined, all capitalised terms used in this Application Form shall have the same meaning given to them in the Prospectus.

Please return this form to: **Sarasin Investment Funds, Sunderland, SR43 4AX** (authorised and regulated by the Financial Conduct Authority) Tel: +44 (0) 333 300 0373 (Dealing line), Fax: +44 (0)20 7643 3910. **Please use BLOCK CAPITALS.**

Before completing this application form, please ensure you have read the Key Investor Information Document (KIID) for the Fund(s) that you wish to invest in.

Please note that no U.S. person is permitted to invest in the Funds.

A. REGISTRATION DETAILS

All Applicants must complete this section. (Mandatory fields are marked with an *)

Institutions

Registered name: _____

Designation (if applicable): _____

Registered address*: _____

Postcode: _____

Country of incorporation: _____

Date of incorporation: _____

Daytime telephone number: _____

Existing Sarasin Account no. (if applicable): _____

Tax identification no. (if known): _____

E-mail address*: _____

To be completed by the Financial Adviser

Agent Stamp:

Name: _____

Address: _____

Registration number: _____

No commission is payable on these Share classes in compliance with the UK Retail Distribution Review. Investors are responsible for ensuring Sarasin Investment Funds Limited is informed when the financial advisor detail is changed

Registered name for Trusts

Please note that an account cannot be registered in the name of a Trust.

The registered account holder(s) must be the individual Trustee(s) and the name of the Trust can be added as a designation.

Individuals

Title	Surname	Forename(s) in full
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Registered name. Please note that an account cannot be registered in the name of a Trust. The registered account holder(s) must be the individual Trustee(s) and the name of the Trust can be added as a designation.

Designation (if applicable): _____

If you are investing for a child under 18, please provide child's initials and provide a certified copy of the child's birth certificate.

Permanent Residential address*: _____

Postcode: _____ Country of residence: _____

Daytime telephone number: _____ Date of birth: _____

Existing Sarasin Account no (if applicable): _____

Tax identification no. (if known): _____

E-mail address*: _____

Source of funds: _____

B. SUBSCRIPTION DETAILS

Lump sum – The minimum is £1,000 **per Fund. All investments into the Funds will be made into the retail share class noted below.** Please note that if no selection of income or accumulation shares is made, accumulation shares will be purchased unless you complete section C in which case income shares will be purchased. To pay by Bank Transfer, please follow the instructions in section E.

If payment has not already been made, this will be due in cash or cleared funds not later than the third business day after the relevant dealing day.

Fund Name	Share Class	Inc	Acc	Number of Shares	Lump Sum Amount (minimum £1,000)
Sarasin Responsible Global Equity ISIN code: Inc GB00B4N86553 Acc GB00B4674R77	I				£
Sarasin Global Dividend ISIN code: Inc GB00BGDF8B06 Acc GB00BGDF8C13	I				£
Sarasin Thematic Global Equity ISIN code: Inc GB0009341321 Acc GB0009341651	I				£

C. INCOME PAYMENTS

If you wish to receive income from your investment, please complete this section.

Please note that this facility is only available for lump sum investments.

Bank/Building Society: _____

Bank/Building Society Account number: _____

Address: _____

Postcode: _____

Account Name: _____ Branch Sort Code _____

Swift Code: _____ Building Society Roll No: _____

If you are subscribing to income shares, please note that if no payment details are provided, income will be reinvested to buy additional shares.

D. REDEMPTION PAYMENTS

Please provide details of the bank account to which future redemptions should be paid. We wish to ensure that payments to you are made promptly and accurately. Failure to complete this section may lead to delays whilst nominated bank account details are verified.

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

Please see below for further details of bank account evidence requirements:

Bank account evidence documentation must include one of the below:

- Original or copy printed bank statements on headed paper showing the investor's name, address and account details **OR**
- Printed correspondence from the bank which confirms the investor's account name, address and account details, duly certified as a true copy of the original.

If the bank account to which you wish to receive redemption payments is the same as that to which you have requested to receive income payments, above, please tick here

Bank/Building Society: _____

Bank/Building Society Account number: _____

Address: _____

Postcode: _____

Account Name: _____ Branch Sort Code _____

Swift Code: _____ Building Society Roll No: _____

Redemption payments cannot be made to banks outside of the Applicant's home jurisdiction. If you wish to change your bank account details at a later stage, you will be asked for proof of account holding.

E. BANK TRANSFER

Royal Bank of Scotland, London Corporate, PO Box 450, 5-10 Great Tower Street, London EC3P 3HX.

For GBP

Sort Code: 16-04-00, **Account No:** 20018870

Account Name: Sarasin Investment Funds Ltd Sterling

Client Money Account

Please quote the order reference or plan number and client name

For EUR

Sort Code: 16-04-00, **Account No:** SIFSECMA-EURA (10008408)

IBAN: GB66RBOS16106510008408

SWIFT BIC: RBOGGB2L

Account Name: Sarasin Investment Funds Ltd Euro Client
Money Account

Please quote the order reference or plan number and client name

F. ANTI-MONEY LAUNDERING

As a result of legislation in force in the United Kingdom to prevent money laundering, firms conducting investment business are responsible for compliance with money laundering regulations. In certain circumstances investors may be asked to provide proof of identity when buying, converting or selling Shares. Please see the anti-money laundering document checklist in section K of this Application Form.

Normally this will not result in any delay in carrying out instructions, but should Sarasin Investment Funds Limited request additional information, this may mean that instructions will not be carried out until the information is received. In these circumstances Sarasin Investment Funds Limited may refuse to issue, convert or redeem Shares, release the proceeds of redemptions or carry out such instructions. Income distributions may be reinvested until such time that the requested information is received.

G. TERMS OF SUBSCRIPTION

In connection with its subscription for Shares, the Applicant (or its agent on the Applicant's behalf) represents and warrants to and for the benefit of the Company, the relevant Funds, Administrator, Custodian, ACD and Investment Manager as set out below. If the Applicant is a nominee, the representations below apply as appropriate to both the nominee and each beneficial owner of the Shares provided that any representations made by a nominee with respect to a beneficial owner is limited to the knowledge of such nominee based on representations after due enquiry received from the beneficial owner.

- (1) If an individual/individuals, I am/we are over 18 years of age.
- (2) I am/we are the beneficial owner(s) of the account OR I am/we are acting legally on behalf of the beneficial owner.
- (3) I/we confirm that the information provided in this Application Form is true, accurate and correct in every respect.
- (4) I/we, having received and considered a copy of the current Prospectus, the KIID and the most recent annual and/or semi-annual report of the Company (if any) confirm that this application is based solely on the information contained in such documentation and is made pursuant to the terms in the Prospectus and this Application Form.
- (5) I/we accept that the legal relationship between the Applicant and the Company shall be governed solely by English law, with the jurisdiction being in the location of the Company's registered offices or, for claims under property law, the Applicant's domicile as well. I/we hereby authorise the Company to send me/us details of my/our Share holdings in the Funds in any format via my/our intermediary or the Investment Manager.
- (6) I/we understand that all the data I/we have submitted will be kept on file with the ACD and will also be stored with the Investment Manager in the United Kingdom. I am/we are also aware that this data will be used for customer support purposes, and I/we explicitly consent to said uses.
- (7) I/we understand that the ACD and other members of its group of companies may use the information held about me/us to tell me/us about other services and products that Sarasin believe may be of interest to me (if you do not wish us to do this please tick the relevant box below).
- (8) To comply with the European Unions Savings Tax Directive by virtue of the adoption of the terms by the United Kingdom, I/we understand that if I am/we are an individual beneficial owner resident in an EU Member State all details of interest payments and other similar income maybe passed by the ACD to the tax authority of my/our place of residence.
- (9) I/we acknowledge that the Company has made available to me/us, during the course of this transaction and prior to the purchase of any Shares, the opportunity to ask questions of and receive answers from the Administrator concerning the terms and conditions of the offering described in the Prospectus, and to obtain any additional information necessary to verify the information contained in the Prospectus or otherwise relative to the financial data and business of the Company and the Funds, to the extent that such parties possess such information or can acquire it without unreasonable effort or expense, and all such questions, if asked, have been answered satisfactorily and all such documents, if examined, have been found to be fully satisfactory.
- (10) I/we acknowledge that I am/we are not investing in reliance on any representation or warranty, express or implied as to the performance of or the investment objective to be achieved by the Company and the Funds.
- (11) I/we confirm that I/we shall be deemed to make, on a continuing basis, each of the representations and warranties contained herein and I/we agree to notify the ACD or the Administrator immediately if I/we become aware that any of the representations are no longer accurate and complete in all respects and agree to immediately take such action as the ACD may direct, including where appropriate, redemption of my/our entire holding.
- (12) I/we confirm that the Shares are not being acquired and will not be held in violation of any applicable laws.
- (13) I/we confirm that I am/we are purchasing Shares for investment for my/our own account (where the Applicant is an agent or a nominee, for the account of the beneficial owner) and not with any present view towards resale or other distribution of any Shares.
- (14) I/we acknowledge that the ACD reserves the right in its absolute discretion, and without providing any reason, to accept or reject in whole or in part the application for Shares by any person.
- (15) I/we have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that we are capable of evaluating the merits, and the risks of investing in the Funds and are aware of the risks inherent in investing in the assets in which the Funds will invest and the method by which these assets will be held and/or traded and can bear the loss of our entire investment in the Funds.
- (16) I/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.
- (17) I/we understand that the representations, warranties, agreements, undertakings and acknowledgments in this Application Form are with the intent that they may be relied upon by the ACD and/or Administrator in determining my/our suitability as a purchaser of Shares and shall survive my/our purchase of Shares.
- (18) I/we agree to indemnify the ACD and the Administrator and agree to keep the ACD and the Administrator indemnified against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties, declarations, condition, covenant or agreement contained herein or in any other document delivered by us to the ACD, Investment Manager or the Administrator.
- (19) 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/we are subject to taxation and that the tax consequences of my/our purchase of Shares depends on our individual circumstances.
- (20) I/we acknowledge the right of the ACD at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- (21) I/we declare that the entity or person hereby subscribing for Shares is not a U.S. Person as defined in the the U.S. Securities Act of 1933 and that I am/we are not applying as the proxy holder nor acting on behalf of or for the benefit of or with funds obtained from a U.S. Person; that we have not been solicited to purchase Shares while physically present within the USA; that at the time we subscribed for Shares we were outside of the USA; that we agree that the Shares or any interest therein will not be offered, sold, transferred or delivered, directly or indirectly in the USA to a U.S. Person at any time. I/we will notify the Administrator immediately if I/we or any other beneficial owner on whose behalf I am/we are acting, should become a U.S. Person.(22) If an institution, we are duly organised, validly existing and in good standing under the laws of the jurisdiction in which we are organised and we have the power and authority to enter into and perform our obligations under this Application Form and each other document required to be executed and delivered by us in connection with this subscription for Shares, and perform our obligations thereunder and consummate the transactions contemplated thereby and the person signing this Application Form on behalf of us has been duly authorised to execute and deliver this Application Form and each other document required to be executed and delivered by us in connection with this subscription for Shares. Such execution, delivery and compliance by us does not conflict with, or constitute a default under, any instruments governing us, any law, regulation or order, or any agreement to which we are a party or by which we are bound. This Application Form has been duly executed by us and constitutes a valid and legally binding agreement by us.
- (23) I/we acknowledge that the information in the Prospectus and the information regarding the composition of the portfolio and any information relating to trading activity within the portfolio provided to me/ us by the Investment Manager in relation to the Company and the Funds is confidential (the "Confidential Information"). I/we hereby agree to keep the information secret and confidential and not to use the Confidential Information other than in connection with my/our investment in the Fund(s). I/we also agree to take reasonable measures for the prevention of disclosure of or unauthorised access to the Confidential Information.
- (24) I/we acknowledge that if, at any time, I/we cease to be or, to hold on behalf of, an Applicant, we may be liable to the ACD for any actions, proceedings, claims, costs, demands, charges, losses, damages or expenses ("Loss") and tax arising as a result of a misrepresentation made to the ACD or its delegate or may be called upon to indemnify the ACD for Loss arising as a result of such misrepresentation.
- (25) I/we acknowledge that any person who holds Shares in contravention of restrictions imposed by the ACD or, by virtue of his holding, is in breach of the laws and regulations of any applicable jurisdiction or whose holding could, in the opinion of the ACD, cause the Company or the Funds to incur any liability to taxation or to suffer any pecuniary disadvantage which the Company or the Funds or the Applicants or any or all of them might not otherwise have incurred or sustained or otherwise in circumstances which the ACD believes might be prejudicial to the interests of the Applicants, shall indemnify the Company, the Funds, the ACD, the Investment Manager, the Custodian, the Administrator and Applicants for any Loss suffered by them as a result of such person or persons acquiring or holding Shares in the Funds.

- (26) I/we hereby indemnify and keep the ACD on behalf of the Company and the Funds indemnified against any Loss arising to the Company and the Funds by reason of the Company and the Funds becoming liable to account for tax on the happening of an event giving rise to a charge to taxation arising as a result of the holding or beneficial ownership of Shares by me/us including any interest or penalties.
- (27) The Administrator and the ACD are each hereby authorised 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. If instructions are given by me/us by facsimile, I/we undertake to forward the original documentation immediately by courier to the Administrator. Neither the Administrator nor the ACD shall be responsible for any mis-delivery or non-receipt of any facsimile or original document. I/we hereby agree to indemnify the Administrator and the ACD (on its own behalf and as agent of the ACD) and agree to keep each of them indemnified against any loss of any nature whatsoever arising as a result of any of them acting upon facsimile instructions. The Administrator and the ACD 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 authorised persons.
- (28) I/we consent to the recording of telephone calls that we make to and receive from the Administrator, the ACD, the Custodian 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 ACD or the Investment Manager sending information about other investment services to me/us by letter, telephone, e-mail or other reasonable means of communication. I/we understand that we have a right not to receive such information.
- (29) I/we acknowledge that due to UK anti-money laundering requirements, the Administrator or the ACD may require further identification and other documentation from the Applicant(s) before the application can be processed. Until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify the Applicant's identity no request made by the Applicant to either redeem or exchange the Shares will be processed. The Administrator and the ACD 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 has been required by the Administrator and the ACD and has not been provided by the Applicant or has been provided in incomplete form.
- (30) I/we acknowledge that the Company and its Funds, the ACD, Investment Manager, Custodian and Administrator (the "Relevant Parties"), any regulator or court of law (as the case may be), may require further information and documentation from the Applicant(s) (including information concerning the direct or indirect owners of such Applicant) which maybe required to enable the Relevant Parties to comply with their obligations under applicable legislation and regulations. The Applicant hereby agrees and consents to provide the required information and documentation to the Relevant Parties. The Relevant Parties shall be held harmless and indemnified against any loss arising as a result of a failure to provide any information and documentation if such information and documentation has been requested from the Applicant but has not been provided by the Applicant or has been provided in incomplete form. The ACD may also exercise its right to completely redeem an Applicant (at any time or upon any or no notice) if the Applicant fails to provide the Relevant Parties with the information and documentation that the Relevant Parties require to satisfy their obligations under applicable legislation and regulations.
- (31) This Application Form shall be governed by and construed in accordance with the laws of England and Wales. The Applicant hereby irrevocably consents to the courts of England and Wales for the purposes of any proceedings relating to this Application Form.
- (32) This Application Form and the Prospectus contain the entire agreement between the parties with respect to the Applicant's investment in Shares. Provisions of this Application Form may not be modified or waived, except in writing.
- (33) I/we acknowledge that I/we may not assign any of the Applicant's rights or interests in and under this Application Form without the prior written consent of the ACD, and any attempt at assignment without such consent shall be void and without effect.
- (34) Any provision of this Application Form which is invalid or unenforceable in any jurisdiction, shall, as to such jurisdiction, be ineffective to the extent of such invalidity or unenforceability without rendering the remaining provisions invalid or unenforceable or affecting the validity or enforceability of this Application Form in any other jurisdiction.
- (35) For the avoidance of doubt, references herein to the ACD or the Company or the Funds undertaking any action or discharging any duty shall as appropriate, be construed as and deemed to be the ACD undertaking or discharging the same on behalf of and for the account of the Company or the Funds.

Please read these instructions before completing the form.

Regulations based on the OECD Common Reporting Standard (“CRS”) require us to collect and report certain information about an account holder’s tax residency. If your tax residence (or the account holder, if you are completing the form on their behalf) is located in a country that is signed up to the CRS, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to our local tax authority.

You can find definitions of who is classified as an account holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to the account holder’s tax status or other mandatory fields included on this form.

This form is intended to request information only where such request is not prohibited by local law.

Please fill in this form if you are an individual account holder, sole trader or sole proprietor.

For joint or multiple account holders, use a separate form for each individual person.

Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need an “Entity tax residency self-certification.” Similarly, if you are a controlling person of an entity, please fill in a “Controlling person tax residency self-certification form” instead of this form.

If you are a US Person under US Internal Revenue Service (“IRS”) regulations, you may also need to fill in an IRS W-9 form.

If you are filling in this form on behalf of someone else.

Please tell us in what capacity you are signing in Part 3.

For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

A legal guardian should complete the form on behalf of an account holder who is a minor.

As a financial institution, we are not allowed to give tax advice.

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or local tax authority.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information along with details about the information being requested on the OECD automatic exchange of information.

INDIVIDUAL TAX RESIDENCY SELF-CERTIFICATION FORM

(please complete parts 1-3 in **BLOCK CAPITALS**) (Mandatory fields are marked with an *)

Part 1 – Identification of Individual Account Holder

A. Name of Account Holder:

Family Name or Surname(s)*: _____

Title: _____ First or Given Name*: _____

Middle Name(s): _____

B. Current Residence Address*:

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State)*: _____

Country*: _____ Postal Code/ZIP Code: _____

C. Mailing Address: (please only complete if different to the address shown in Section B)

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State): _____

Country: _____ Postal Code/ZIP Code: _____

D. Date of Birth* (dd/mm/yyyy): _____

E. Place of Birth

Town or City of Birth*: _____

Country of Birth*: _____

Part 2 – Country of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* (“TIN”) (See Appendix)

Please complete the following table indicating (i) where the Account Holder is tax resident (i.e. where they are liable to pay tax) and (ii) the Account Holder’s TIN for each country indicated.

If the Account Holder is tax resident in more than three countries please use a separate sheet

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

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents.

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed).

	Country of tax residence	TIN	If no TIN available enter Reason A, B or C
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1

2

3

Part 3 – Declarations and Signature* (Mandatory fields are marked with an *)

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

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise within 90 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Signature*: _____ Print name*: _____
 Date*: _____

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.
 Capacity*: _____

APPENDIX – DEFINITIONS

Note: These are selected definitions provided to assist you with the completion of this form. Further details can be found within the OECD “Common Reporting Standard for Automatic Exchange of Financial Account Information” (the “CRS”) and the associated “Commentary” to the CRS.

If you have any questions about these definitions or require further detail then please contact your tax adviser or local tax authority.

“Account Holder” The term “Account Holder” means the person listed or identified as the holder of a Financial Account. A person holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

“Reportable Person” The CRS defines the Account Holder as a “Reportable Person”. A Reportable Person is further defined as an individual who is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction.

“Financial Account” A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

“Reportable Jurisdiction” A Reportable Jurisdiction is a Participating Jurisdiction with which an obligation to provide financial account information is in place.

“Participating Jurisdiction” A Participating Jurisdiction means a jurisdiction with which an intergovernmental agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard.

“Controlling Person” This is a natural person who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity (“NFE”) then such persons are regarded as the Account Holder(s). This definition corresponds to the term “beneficial owner” as described in Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012). **If the account is maintained in relation to the Account Holder in their role as a Controlling Person then the “Controlling Person tax residency self-certification” form should be completed instead of this form.**

“Entity” The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

“TIN” (including “functional equivalent”) The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

Please read these instructions before completing the form.

Regulations based on the OECD Common Reporting Standard (“CRS”) require us to collect and report certain information about an account holder’s tax residency. If your tax residence (or the account holder, if you are completing the form on their behalf) is located in a country that is signed up to the CRS, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to our local tax authority.

You can find definitions of who is classified as an account holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to the account holder’s tax status or other mandatory fields included on this form.

This form is intended to request information only where such request is not prohibited by local law. You can find definitions of who is classified as an account holder, and other terms, in the appendix.

This form will remain valid unless there is a change in circumstances related to the account holder’s tax status or other mandatory fields included on this form.

Please complete this form where you need to self-certify on behalf of an entity account holder.

If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead please complete an “Individual tax residency self-certification form.” For joint or multiple account holders please complete a separate form for each account holder. If the Account Holder is a “US Person” under US Internal Revenue Service (“IRS”) regulations, an IRS Form W-9 may also need to be completed.

Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution.

Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as “Controlling Person(s)”) by completing a “Controlling Person tax residency self-certification form” for each Controlling Person. This information should be provided by all Investment Entities located in a Non-Participating Jurisdiction managed by another Financial Institution even if they also fall into a category of “Non-Reporting Financial Institution.

If you are completing the form on the Account Holder’s or controlling persons behalf.

Then you should indicate the capacity in which you have signed in Part 4. For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a signatory authority or power of attorney. (please note the appendix pages do not need to be returned)

As a financial institution, we are not allowed to give tax advice.

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or local tax authority. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information along with details about the information being requested from the OECD automatic exchange of information.

ENTITY TAX RESIDENCY SELF-CERTIFICATION FORM

(please complete parts 1-4 in BLOCK CAPITALS) (Mandatory fields are marked with an *)

Part 1 – Identification of Account Holder

A. Legal Name of Entity/Branch*:

B. Country of incorporation or organisation:

C. Current Residence Address*:

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State)*: _____

Country*: _____ Postal Code/ZIP Code: _____

D. Mailing Address: (please only complete if different to the address shown in Section C above)

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State): _____

Country: _____ Postal Code/ZIP Code: _____

Part 2 – Entity Type (Please provide the Account Holder’s Status by ticking one of the following boxes)

1. (a) Financial Institution - Investment Entity

i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution
(Note: if ticking this box please also complete **Part 2(2)** below)

ii. Other Investment Entity

(b) Financial Institution

Depository Institution, Custodial Institution or Specified Insurance Company

If you have ticked (a) or (b) above, please provide, if held, the Account Holders Global Intermediary Identification Number (“GIIN”) obtained for FATCA purposes.

(c) Financial Institution

Non-Reporting. Please specify the category of Non-Reporting Financial Institution

- i. Governmental Entity
 - ii. International organisation
 - iii. Central Bank
 - iv. Broad Participation Retirement Fund
 - v. Narrow Participation Retirement Fund
 - vi. Pension Fund of (i) – (iii) above
 - vii. Exempt Collective Investment Vehicle
 - viii. Trustee-Documented Trust
 - ix. Qualified Credit Card Issuer
 - x. Other (only tick if the entity type is contained within your local jurisdiction legislation where you are resident) Describe:
-

(d) Active NFE

- A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation

If you have ticked **(d)**, please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in **(d)** is a Related Entity

- (e)** Active NFE – a Government Entity
- (f)** Active NFE – an International Organisation
- (g)** Active NFE – other than **(d)-(f)** (for example a start-up NFE or a non-profit NFE)
- (h)** Passive NFE (Note: if ticking this box please also complete **Part 2(2)** below)

2. If you have ticked 1(a)(i) or 1(h) above, then please:

a. Indicate the name of any Controlling Person(s) of the Account Holder: _____

b. Complete “Controlling Person tax residency self-certification form” for each Controlling Person.*

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

Part 3 – Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent* (“TIN”) (see Appendix)

Please complete the following table indicating (i) where the Account Holder is tax resident (i.e. where they are liable to pay tax) and (ii) the Account Holder’s TIN for each country indicated.

If the Account Holder is tax resident in more than three countries please use a separate sheet.

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

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents.

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed).

	Country of tax residence	TIN	If no TIN available enter Reason A, B or C
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1

2

3

Part 4 – Declarations and Signature* (Mandatory fields are marked with an *)

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

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise within 90 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Signature*: _____ Print name*: _____
 Date*: _____

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.
 Capacity*: _____

CONTROLLING PERSON TAX RESIDENCY SELF-CERTIFICATION FORM

(please complete parts 1-3 in **BLOCK CAPITALS**) (Mandatory fields are marked with an *)

Part 1 – Identification of a Controlling Person

A. Name of Account Holder:

Family Name or Surname(s)*: _____

Title: _____ First or Given Name*: _____

Middle Name(s): _____

B. Current Residence Address*:

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State)*: _____

Country*: _____ Postal Code/ZIP Code: _____

C. Mailing Address: (please only complete if different to the address shown in Section B)

Line 1 (e.g. House/Apt/Suite Name, Number, Street): _____

Line 2 (e.g. Town/City/Province/County/State): _____

Country: _____ Postal Code/ZIP Code: _____

D. Date of Birth* (dd/mm/yyyy): _____

E. Place of Birth

Town or City of Birth*: _____

Country of Birth*: _____

F. Please enter the legal name of the entity or entities of which you are a Controlling Person

Legal name of **Entity 1**: _____

Legal name of **Entity 2**: _____

Legal name of **Entity 3**: _____

Part 2 – Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent* (“TIN”) (see Appendix)

Please complete the following table indicating: (i) where the Controlling Person is tax resident (i.e. where they are liable to pay tax); (ii) the Controlling Person’s TIN for each country indicated; and, (iii) where the Controlling Person is a tax resident in a country that is a Reportable Jurisdiction(s) then please also complete Part 3 “Type of Controlling Person”.

(You can also find out more about whether a country is a Reportable Jurisdiction from the OECD automatic exchange of information.)

If the Controlling Person is tax resident in more than three countries please use a separate sheet.

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

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents.

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed).

	Country of tax residence	TIN	If no TIN available enter Reason A, B or C
1	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1	<input type="text"/>
2	<input type="text"/>
3	<input type="text"/>

Part 3 – Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.

	Entity 1	Entity 2	Entity 3
a. Controlling Person of a legal person – control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Controlling Person of a legal person – control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Controlling Person of a legal person – senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Controlling Person of a trust - settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Controlling Person of a trust – trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Controlling Person of a trust – protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Controlling Person of a trust – beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Controlling Person of a trust – other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m. Controlling Person of a legal arrangement (non-trust) – other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 4 – Declarations and Signature* (Mandatory fields are marked with an *)

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

certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the entity Account Holder to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise within 90 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Signature*: _____

Print name*: _____

Date*: _____

Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity*: _____

APPENDIX – DEFINITIONS

Note: These are selected definitions provided to assist you with the completion of this form. Further details can be found within the OECD “Common Reporting Standard for Automatic Exchange of Financial Account Information” (the “CRS”) and the associated “Commentary” to the CRS. If you have any questions about these definitions or require further detail then please contact your tax adviser or local tax authority.

“Financial Account” A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

“Entity” The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

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

“Account Holder” The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than its owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership.

A person holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

“Reportable Person” A Reportable Person is an individual (or entity) that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the “Reportable Person” however a Reportable Person also includes any Controlling Persons who are tax resident in a Reportable Jurisdiction.

A “Reportable Person” is defined as a “Reportable Jurisdiction Person”, other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a Related Entity of a corporation described in clause (i);
- a Governmental Entity;
- an International Organisation;
- a Central Bank; or
- a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that are not Participating Jurisdiction Financial Institutions, which are treated as Passive NFE’s.)

“Reportable Jurisdiction” A Reportable Jurisdiction is a Participating Jurisdiction with which an obligation to provide financial account information is in place.

“Participating Jurisdiction” A Participating Jurisdiction means a jurisdiction with which an Intergovernmental or Competent Authority Agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information as set out in the CRS.

“Reportable Jurisdiction Person” A reportable jurisdiction Person is an Entity that is tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s) -by reference to local laws in the country where the Entity is established, incorporated or managed. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office.

Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.

“Financial Institution” The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant Tax Regulations and the CRS for further classification definitions that apply to Financial Institutions.

“Custodial Institution” The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

“Depository Institution” The term “Depository Institution” means any Entity that accepts deposits in the ordinary course of a banking or similar business.

“Investment Entity” The term “Investment Entity” includes two types of Entities:

- (i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - Individual and collective portfolio management; or
 - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.
- Such activities or operations do not include rendering non-binding investment advice to a customer.

(ii) "The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution") is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

"Investment Entity managed by another Financial Institution"

"An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in (a) – (c) above in the definition of 'Investment Entity'.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

Under the CRS where this type of Entity is located in a Non-Participating Jurisdiction and managed by another Financial Institution then it is treated as Passive NFE.

"Specified Insurance Company" The term "Specified Insurance Company" means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

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

"Non-Reporting Financial Institution" A Non-Reporting Financial Institution" means any Financial Institution that is:

- a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- an Exempt Collective Investment Vehicle; or
- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust;
- any other defined in a countries domestic law as a Non-Reporting Financial Institution.

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

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

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

"Control" "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means.

Where no natural person(s) is/are identified as exercising control of the Entity (for example where no underlying person has control of greater than 25% of the entity) then under the CRS the Reportable Person is deemed to be the natural person who hold the position of senior managing official.

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

"NFE" Means any Entity that is not a Financial Institution

"Passive NFE" Under the CRS a "Passive NFE" means any: (i) NFE that is not an Active NFE; and (ii) an Investment Entity described in subparagraph A(6)(b)Section VIII of the CRS.

"Active NFE" Any NFE can be an Active NFE, provided that it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

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

a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;

c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;

d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund,

or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

e) the NFE is not yet operating a business and has no prior operating history, (a "start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;

f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;

g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or

h) the NFE meets all of the following requirements (a "non-profit NFE") :

i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;

ii) it is exempt from income tax in its jurisdiction of residence;

iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

iv) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision

"FATCA" FATCA stands for The Foreign Account Tax Compliance Act which was enacted as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain foreign financial institutions and other foreign entities

"TIN" (including "functional equivalent") The term "TIN" means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include, for Entities, a Business/company registration code/number.

"Resident for tax purposes" Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes.

DATA PROTECTION NOTICE

Sarasin Investment Funds Limited

This notice sets out how [the Fund] will process personal information (as a Data Controller)

Where your details are provided to the Fund as a consequence of your investment in Sarasin Investment Funds, then the Fund, acting as a data controller may itself (or through a third party such as Northern Trust Global Services Limited (the "Administrator") acting in its capacity as the Fund'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, or other service providers, will act as a data controller. For further information regarding these activities, please consult the data privacy notice of the Administrator (which is available at this website: <https://www.northerntrust.com/emea-privacy-notice>).

Please ensure that you provide a copy of this Data Protection Notice to any third parties whose personal data you provide to the Fund. This Data Protection Notice may be updated at any time and the Fund will notify you in writing of any changes.

Purposes of Processing and Legal basis for processing

Your personal data may be processed by the Fund or the Administrator (or any of their affiliates, agents, employees, delegates or sub.contractors) for the following purposes:

- to facilitate the opening of your account with the Fund, the management and administration of your holdings in the Fund and any related account on an on-going basis (the "Services") which are necessary for the performance of your contract with the Fund, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions and redemptions; This use of your data is necessary for performance of your contract with us.
- in order to carry out anti-money laundering checks and related actions which the Fund considers appropriate to meet any legal obligations imposed on the Fund 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 Fund and the Administrator's anti-money laundering procedures;
- 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;
- to disclose information to other third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Fund;
- to report tax related information to tax authorities in order to comply with a legal obligation; This use of your data is necessary in order for us to comply with any legal or regulatory obligations.

- to monitor and record calls and electronic communications 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 Fund and its affiliates, itself or through third parties to whom it delegates such responsibilities or rights, (v) to pursue the Fund's legitimate interests in relation to such matters or to (vi) to resolve complaints;
- to disclose information to other third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers in order to pursue the legitimate interests of the Fund;
- to enforce or defend the Fund's rights, itself or through third parties to whom it delegates such responsibilities. This use of your data is in furtherance of our legitimate business interests.

Please note: You have the right to object to processing which is done in furtherance of our legitimate interests.

The legitimate interests referenced above include:

- Assertion of legal entitlements and defence in the event of a legal dispute;
- Prevention of criminal acts;
- Measures for business control and the further development of products;
- Risk management;

We do not consider such interests would prejudice your rights or fundamental freedoms as a data subject. For more information on our legitimate interests and the balancing exercise, please contact us using the details below.

Recipients of Data and International Transfer of Data

The Fund may disclose your personal information as follows:

- to its service providers, including the Administrator, National Westminster Bank plc, as Depositary, their affiliates, custodians, data management and investor reporting solution providers, printers, publishers, distributors, platform providers and other third party service providers engaged by the Fund in connection with the requirements, oversight, safekeeping, distribution or operation of the Fund, in order to process the data for the above mentioned purposes; and
- to competent authorities (including tax authorities), law enforcement agencies, the Central Bank of Ireland, courts and bodies as required by law or requested or to affiliates for internal investigations and reporting.

The disclosure of personal information to the third parties set out above will, to the extent necessary to perform the Services, involve the transfer of data to the USA and other jurisdictions outside the European Economic Area. Such countries may not have the same data protection laws as your jurisdiction. The Fund has authorised the Administrator as its agent to put in place Standard Contractual Clauses in accordance with Article 46(2) of the General Data Protection Regulation (GDPR). Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into by the Fund and/or the Administrator and details of other safeguards that have been put in place.

Retention period

The Fund and the Administrator will retain your personal information for as long as required for the performance of the Services or for a longer period, depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

Data Subject Rights

In certain circumstances, you have the right to:

- **Request access** to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it;
- **Request correction** of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected;
- **Request erasure** of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below);
- **Object to processing** of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes;
- **Request the restriction of processing** of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it;
- **Request the transfer** of your personal information to another party.

We will respond to your request in writing, or orally if requested, as soon as practicable and in any event not more than within one month after of receipt of your request. In exceptional cases, we may extend this period by two months and we will tell you why. We may request proof of identification to verify your request. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us – refer to the “Contacting us” details below.

We may also seek your consent for the processing of your personal information for specific purposes. Where we do so, and where you give consent, you have the right to subsequently withdraw that consent at any time (by contacting us using the details below).

Consequences of not Providing Required Data

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information means the Fund may not be able to accept you as an investor in the Fund and/or may be unable to process, or release your investment in the Funds. This may result in the Fund terminating its relationship with you. We will tell you when we ask for your information whether it is a statutory or contractual requirement to give us the information and the consequences of not providing this information.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the GDPR.

How to contact us

The Fund’s current Administrator is Northern Trust Global Services Limited.

If you have any questions about our use or the Administrator’s use of your personal information, please contact us at dataprotection@sarasin.co.uk.

H. SIGNATURE

I/we agree to subscribe for the number of Shares in the relevant Fund(s) as may be purchased for the subscription amount set out above upon the terms of this Application Form and the Prospectus. .

Signature: _____ Date: _____

Signature: _____ Date: _____

Signature: _____ Date: _____

Signature: _____ Date: _____

I. CHECKLIST FOR RETURN OF COMPLETED APPLICATION FORM

- Completed Application
- If not paying by Bank Transfer, a cheque for total amount invested or first monthly savings payment made payable to Sarasin Investment Funds Ltd.
- Return to: Sarasin Investment Funds, Sunderland, SR43 4AX
- Bank details provided if requesting income to be paid out.
- If your funds are not drawn from a UK bank account bearing the investor's name, include 2 forms of identification as per the attached documentation checklist.
- Completed self-certification form(s) and appendix

We regret we may be unable to process any application where the Anti-money Laundering documentation and appropriate self-certification form(s) have not been provided.

J. ADDITIONAL INVESTOR DETAILS

Please ensure that where holdings are registered in more than one individual name, full details of each individual investor are provided in the sections below. (Mandatory fields are marked with an *)

Joint/second investor:

Company (if applicable) _____

Permanent residential address*: _____

Postcode: _____

Country of residence: _____ Daytime telephone number: _____

Existing Sarasin account no. (if applicable): _____

Tax identification number (if known) _____

Date of birth: _____ Email address*: _____

Joint/third investor:

Company (if applicable) _____

Permanent residential address*: _____

Postcode: _____

Country of residence: _____ Daytime telephone number: _____

Existing Sarasin account no. (if applicable): _____

Tax identification number (if known) _____

Date of birth: _____ Email address*: _____

Joint/fourth investor:

Company (if applicable) _____

Permanent residential address*: _____

Postcode: _____

Country of residence: _____ Daytime telephone number: _____

Existing Sarasin account no. (if applicable): _____

Tax identification number (if known) _____

Date of birth: _____ Email address*: _____

K. ANTI-MONEY LAUNDERING CHECKLIST

Where you are not investing through a UK Authorised Financial Adviser, please read through the relevant section below and ensure that you have sent us the appropriate documentation.

New applicant's must provide us with the required documentation on this checklist. Any outstanding information may delay acceptance of the business and we cannot be held liable for any direct or indirect losses for delays resulting from any incomplete application.

ALL DOCUMENTS provided must be certified as true copies of the original or enclose the original copies. Copies should be in black and white. No colour copies please.

If you are based within the UK, documents must be certified by one of the following: banker, authorised financial intermediary, justice of the peace, a notary public, a practicing solicitor or Barrister, or a person authorised to sign on behalf of an embassy or consul.

If you are based outside the UK documents must be certified by one of the following: Embassy/Consulate, lawyer or attorney, or by a senior Sarasin employee. If an individual is certifying in a professional capacity, i.e. lawyer, attorney, ensure the individual's full name, signature, professional capacity, employer and date are clearly stated. All certifiers must provide contact details including address, telephone number and email address.

PRIVATE INDIVIDUALS

Evidence of identity (You need to provide one of the following):

- Current, signed, passport, **or**
- National Identity Card with photo or social/revenue card or any identity document with photographic identity that has been issued by a government department, **or**
- Current UK Photo Driving Licence together with paper counterpart where applicable if not used for evidence of address **and**

Evidence of residential address verification (you need to provide one of the following):

- Original recent utility bill (not over three months old and not a mobile bill), or a National Identity Card with address written on it (you cannot use this as an address verification documentation if you have used it as evidence of identity), **or**
- Current year Local Authority Tax Bill, **or**
- Current UK photo driving license together with paper counterpart where applicable – If not used for evidence of identity, **or**
- Bank, building society or credit union statement (not over three months old), **or**
- Solicitor's letter confirming recent house purchase or land registry confirmation, **or**
- Local council rent card or tenancy agreement, **or**
- Land registry confirmation, **or**
- Household/motor insurance certificate, **or**
- Payslip or salary advice dated within three months,
- Any correspondence from a local authority, revenue commissioner or any government body

EU passport holders and/or EU residents (You need to provide in addition to the above):

- Proof of tax identification number (if available), **or**
- Tax residence certificate if you are not resident in the EU.

CORPORATIONS

You need to provide **all** of the following unless if an entity is regulated by an appropriate supervisory body in a FATF jurisdiction, then obtain:

- Confirmation of the regulator and the entity's regulated identification number: **and**
- A copy of the entity's authorised signatory list

UK Corporations

If an entity is not regulated, obtain:

- Companies House search (this is the equivalent of a Certificate of Incorporation): **or**
- A copy of the Certificate of Incorporation, **or**
- Memorandum/articles of association, **and**
- Evidence of beneficial ownership i.e. extract of share register, **or**
- Written confirmation of all shareholders and directors with 25% or greater interest, **and**
- Evidence of identify of the principal beneficial owner(s) and controller(s); (i.e. those individuals having a significant influence over, and financial control of the company, such as shareholders with interests more than 25% by certified extract of shareholders register; also those mandated to manage funds, accounts or investments without requiring authorisation and who would be in a position to override internal procedures and control mechanisms), **and**
- Provide a certified list of shareholders and directors; including name, address and date of birth for all directors of the company

Non-UK Corporations

If an entity is not regulated, obtain:

- Certificate of Incorporation or certificate of registration/trade or equivalent; **and**
- Memorandum and Articles of Association or equivalent; **and**
- Confirmation of the company's registered address (& trading address if different), **and**
- Identification and verification on all directors listed on Companies House (or equivalent), **and**
- A copy of the company's authorised signatory list: **and**
- Evidence of identify of the principal beneficial owner(s) and controller(s); (i.e. those individuals having a significant influence over, and financial control of the company, such as shareholders with interests more than 25% by certified extract of shareholders register or share certificates; also those mandated to manage funds, accounts or investments without requiring authorisation and who would be in a position to override internal procedures and control mechanisms); **and**
- Provide a certified list of shareholders and directors which includes full names, addresses and dates of birth, **and**
- Identification and verification documents for at least two of the directors, or where applicable, one director and one authorised signatory

Notes: Where the principal owner is another corporate entity, we are required to look behind that company or vehicle. Hence, please ensure you provide the appropriate identification documentation for the ultimate beneficial owners (more than 25% of shareholding) of any domiciliary companies.

PARTNERSHIPS AND UNINCORPORATED PARTNERSHIPS

You need to provide all of the following (**note: If you are a Limited Liability Partnership you will be treated as a Corporate customer therefore please ensure that you provide the necessary documentation as per the Corporation checklist**).

- For Partnerships provide a certified copy of the formal partnership agreement; **and**
- Provide identification and address verification evidence for the principal owners/controllers/partners. **Please apply the identification verification process as per Private Individual checklist for this purpose.**

TRUSTS

UK and Overseas Trusts

- Provide documentary evidence of the appointment of the current trustees, and confirmation of the settlor i.e. certified copies of the original trust deed or any supplementary trust deeds which provides:
 - Name of trust
 - Current trustees
 - Name of settlor
 - Names of appointer/protector
 - Names of beneficiaries
- Identify principal trustees (all trustees named on the registered account) and others who have control over the funds as per private individual checklist and any appointer or protect or who can remove the trustees; **and**
- Identify the providers of the funds, i.e. the settlor, donor (except where they are deceased), grantor and protector. Where the settlor is deceased provide either a sealed or certified copy of the Grant of Probate or a certified copy of the death certificate. If not available, a solicitor/attorney written confirmation of the source of funds would suffice; **and**
- Identify and verify as per the individual checklist for beneficiaries (where known) to the trusts (where the beneficiaries have yet to be identified - verification will be undertaken prior to when any payments are made to them); **and**
- Provide a certified copy of the signatory list; **and**
- Provide documentary evidence of the beneficiaries to the trusts (where known), **as per the individual checklist.**

CHARITIES

Charities (Please complete this section)

- Please provide a copy of the Charity's constitution document, if a trust deed, supply all supplementary trusts deeds; **and**
- Provide the Charity Commission register details of:
 - The Charity's registration number
 - Charity's objectives
 - Name, address and date of birth of the trustees which must be signed by one of the instructing trustees
 - An authorised signature list
 - Personal documentation (see Private Individuals) for the company secretary (if the charity is incorporated) or the instructing trustees (if the charity is unincorporated)
- Identification and verification completed on controlling persons (checked against charities commission/constitutional document)
- For other types of entities, i.e. Foundations/LLC's/Pension Funds/Societies/Associations or Government Departments please refer to Sarasin Investment Funds Limited.

Please note: Further information may be requested should it be deemed necessary once the documentation has been reviewed.

APPENDIX 1: TRUSTEE CONFIRMATION

To be completed by Trustees who are regulated and located within the EU/FATF. This Declaration must be returned with the application form.

In making this application for investment, we are acting as Trustee(s) of a trust

NAME OF TRUST: _____

State briefly the capacity in which the trust/trustee(s) are operating or making the application to open the account:

ADDRESS: _____

Source of Funds: _____

with full power and capacity under the relevant trust deed to authorise and undertake all relevant transactions

Tick the appropriate box(es):

Provide We are regulated under the Rules of the FCA in our dealings with you.

Provide We are not regulated by the FCA in our dealing with you.

Please state your regulatory authority, country of regulation and any regulatory reference no. _____

The Trustees in respect of this trust hereby certify that we have sufficient information to confirm:

1. The true identity of the underlying principals, that is, the settlor(s); named beneficiaries, and controllers

AND

2. That there are no anonymous principals;

AND

3. Where underlying evidence is not maintained in the UK, that there are no bank secrecy or confidentiality constraints that will restrict access to the documentary evidence of identity should it be needed for a UK investigation.

Signed: _____ Date: _____

Please print name: _____ Date: _____

Please print name: _____ Date: _____

Please print name: _____ Date: _____

Full Name of Regulated Firm _____

L. ADDITIONAL SUBSCRIPTION FORM

In relation to an additional subscription of Shares, you should post or fax your completed Additional Subscription Form to the ACD to ensure that it is received prior to the relevant Dealing Deadline which is midday (GMT) on the relevant Dealing Day. Additional subscription requests received after the relevant Dealing Deadline shall be deemed to have been received for the next Dealing Day. Original documents in respect of additional subscription requests should be forwarded to the ACD at the following address:

Sarasin Investment Funds, Sunderland, SR43 4AX

Tel: 0333 300 0373 (Dealing line) or +44 (0)20 7098 8164 from outside the UK, Fax: +44 (0)20 7643 3910

REGISTRATION DETAILS

Shareholder details (Mandatory fields are marked with an *)

Registered Account Name: _____

Account Number: _____

Permanent residential address*: _____

Postcode: _____

Contact telephone number: _____

E-mail address*: _____

Registered Account Name (joint holder, if applicable): _____

**To be completed by the
Financial Adviser**

Agent Stamp:

Name: _____

Address: _____

Registration number:

No commission is payable on these Share classes in compliance with the UK Retail Distribution Review.

SUBSCRIPTION DETAILS

Lump sum – The minimum is £250 **per Fund. All investments into the Funds will be made into the retail share class noted below.** Please note that if no selection of income or accumulation shares is made, accumulation shares will be purchased unless you complete the income section below in which case income shares will be purchased. To pay by Bank Transfer, please follow the instructions in Bank Transfer section overleaf.

If payment has not already been made, this will be due in cash or cleared funds not later than the third business day after the relevant dealing day.

Fund Name	Share			Number of Shares	Lump Sum Amount (minimum £1,000)
	Class	Inc	Acc		
Sarasin Responsible Global Equity ISIN code: Inc GB00B4N86553 Acc GB00B4674R77	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	£ <input type="text"/>
Sarasin Global Dividend ISIN code: Inc GB00BGDF8B06 Acc GB00BGDF8C13	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	£ <input type="text"/>
Sarasin Thematic Global Equity ISIN code: Inc GB0009341321 Acc GB0009341651	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	£ <input type="text"/>

INCOME PAYMENTS

If you wish to receive income from your investment, please complete this section.

Please note that this facility is only available for lump sum investments.

Bank/Building Society: _____

Bank/Building Society Account number: _____

Address: _____

Postcode: _____

Account Name: _____ Branch Sort Code _____

Swift Code: _____ Building Society Roll No: _____

If you are subscribing to income shares, please note that if no payment details are provided, income will be reinvested to buy additional shares.

BANK TRANSFER

Royal Bank of Scotland, London Corporate, PO Box 450, 5-10 Great Tower Street, London EC3P 3HX.

For GBP

Sort Code: 16-04-00, **Account No:** 20018870

Account Name: Sarasin Investment Funds Ltd Sterling

Client Money Account

Please quote the order reference or plan number and client name

For EUR

Sort Code: 16-04-00, **Account No:** SIFSECMA-EURA (10008408)

IBAN: GB66RBOS16106510008408

SWIFT BIC: RBOGGB2L

Account Name: Sarasin Investment Funds Ltd Euro Client Money Account

Please quote the order reference or plan number and client name

SIGNATURE

The Applicant(s) agree to subscribe for such number of additional Shares in the Sub-Fund(s) as may be purchased for the subscription amount set out above upon the terms of the Prospectus.

The Applicant(s) confirm that they have received and read the KIID in relation to this fund(s). The Applicant(s) also acknowledge and agree that the updated KIID for each sub-fund is available at the Investment Manager's website at www.sarasin.co.uk and that they will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the fund(s).

The Applicant(s) also represent that all representations and warranties as set out in the Application Form provided at the time of initial subscription of Shares in the Sub-Fund(s), remain true, accurate and complete.

If signing as an Agent or as nominee, the Agent/nominee confirms that it has authority to enter into this Additional Subscription Form and to make such representations for itself and on behalf of the Shareholder (as appropriate).

Signature: _____ Date: _____

Signature: _____ Date: _____

Signature: _____ Date: _____

Signature: _____ Date: _____

