

Mailing Address: C/o Citibank Europe Plc Transfer Agency Department 1 North Wall Quay Dublin 1 Ireland, D01 T8Y1 Tel: + 353 1 622 0016 Fax: + 353 1 622 4601 UTI.TA@citi.com	Please tick here is this has already been sent by facsimile transmission. <input type="checkbox"/>
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Instructions For initial subscriptions for units you must complete the Application Form and post it to the address above. Completed Application Forms may also be sent by fax with the original Forms and the supporting documentation required for Anti-Money Laundering purposes to follow by post immediately thereafter. Failure to provide the original Application Form along with the documentation required for Anti-Money Laundering purposes may result in the deduction of tax due to the Irish Finance Act requirements outlined in the Anti-Money Laundering section and/or a delay in the acceptance and/or payment of a transfer/redemption request. Subsequent subscriptions may be made in writing or by facsimile, stating your registration details and the amount to be invested. Non Retail Accounts - An authorised signatory list must be provided at the time of account opening for the investing entity in whose name the account is being opened. The Application Form must be signed by no less than two authorised signatories. Any changes to the original account details must be received in original format and signed by no less than two authorised signatories, in the case of a company, on corporate letterhead, and in the case of retail applicants, all account signatories must authorise every instruction.
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Subscription Information					
Please pay subscription monies to the following account(s) :					
	US Dollars	SG Dollars	GBP	EUR	CHF
Beneficiary Bank	Citibank, N.A., London Branch	Citibank, N.A., London Branch	Citibank, N.A., London Branch	Citibank, N.A., London Branch	Citibank, N.A., London Branch
Sort Code / ABA / SWIFT	CITIGB2L	CITIGB2L	CITIGB2L	CITIGB2L	CITIGB2L
Account Number	0018967563	0018967350	0018967555	0018967407	0018967997
Beneficiary Name	UTI Indian Fixed Income Plc	UTI Indian Fixed Income Plc	UTI Indian Fixed Income Plc	UTI Indian Fixed Income Plc	UTI Indian Fixed Income Plc
IBAN:	GB61CITI185 00818967563	GB89CITI185 00818967350	GB83CITI185 00818967555	GB05CITI185 00818967407	GB80CITI185 00818967997
Correspondent Bank	Citibank N.A., New York CITIUS33	Citibank N.A., Singapore CITISGSG	-	-	-

Please ensure that your bank quotes the details above in the electronic funds transfer to the appropriate bank.

Subscription monies should be received by wire transfer in cleared funds no later than close of business (Irish time) on the Business Day before the relevant Dealing day in the currency of the relevant Shares. The Administrator may, at its discretion, accept payment in other currencies, but such payments will be converted into the currency of the relevant Share class at the then prevailing exchange rate and any conversion expenses shall be borne by the Shareholder. This may result in a delay in processing the application.

¹: e.g. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

DETAILS OF EXPECTED INVESTMENT (please complete this section)

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

<u>Level of expected total investment:</u>	
Ranging between a currency equivalent to EUR 0 to EUR15K	<input type="checkbox"/>
Ranging between a currency equivalent to EUR 15K to EUR100K	<input type="checkbox"/>
Ranging between a currency equivalent to EUR 100K to EUR1M	<input type="checkbox"/>
Ranging between a currency equivalent to EUR 1M to EUR100M	<input type="checkbox"/>
Superior to a currency equivalent to EUR 100M	<input type="checkbox"/>
<u>Declaration of investment:</u>	
Investing on my/our own behalf (please tick the box if applicable)	<input type="checkbox"/>
Investing on behalf of a Third Party Disclosed in the Investor Name	<input type="checkbox"/>
Investing on behalf of several non-disclosed Third Parties (omnibus/pooled accounts)	<input type="checkbox"/>

¹: e.g. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

Details of Investment:				
The Applicant, having received and read a copy of the Prospectus of UTI Fixed Income Fund plc (the "Company") hereby applies to invest in the Company, as indicated in the table below:				
Fund Name	Share Class	ISIN	Minimum Initial Subscription Amount	Value of Subscription
UTI Indian Fixed Income Fund plc	Institutional Class	IE00B87MVW30	USD 500,000	
	Retail Class	IE00B813ZW08	USD 500	
	RDR Class	IE00B8HF8C82	USD 500	
	Institutional Class	IE00BDH6RW28	EUR 500,000	
	Retail Class	IE00BDH6RT98	EUR 500	
	RDR Class	IE00BDH6RV11	GBP 500	
	Retail Class	IE00BDH6RX35	SGD 500	
	Super Institutional Class	IE00BD3WYC32	USD 5,000,000	
	Retail Class	IE00BD0NK980	CHF 500	
	Institutional Class	IE00BD0NKB09	CHF 500,000	

SALES CHARGE (if any): _____ (%)

Please note subscriptions can be accepted in cash amounts only and not in units

Should you have any questions, please contact the Transfer Agent | Citibank Europe Plc, 1 North Wall Quay, Dublin 1, Ireland, D01 T8Y1 Tel: + 353 1 622 0016, Email: UTI.TA@citi.com

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Account Registration Details						
Registered Name						
Account Designation (if any)						
Shareholder Type ¹						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Sale of Business <input type="checkbox"/> Salary <input type="checkbox"/> Pension <input type="checkbox"/> Investment income <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Lottery <input type="checkbox"/> Other (please specify)					
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Source of wealth, i.e. aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Sale of Business <input type="checkbox"/> Salary <input type="checkbox"/> Pension <input type="checkbox"/> Investment income <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Lottery <input type="checkbox"/> Other (please specify)					
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Remitting Bank Details:	1. Remitting Bank Details: <input type="checkbox"/> As per bank account details for redemptions & dividends stated below OR please complete the details below* Remitting bank name: _____ Remitting bank address: _____ Account holder name: _____ *If you have more than one remitting bank please provide details on a separate sheet.					
Registered Address PO or C/O will not be accepted						
Mailing Address (if different)						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

Joint Applicant(s)

Details of up to 3 additional holders may be added to the application. Please complete details in block capitals below.

First additional applicant details						
Registered Name						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance		<input type="checkbox"/> Gift		<input type="checkbox"/> Sale of Business	
	<input type="checkbox"/> Salary		<input type="checkbox"/> Pension		<input type="checkbox"/> Investment income	
	<input type="checkbox"/> Sale of assets (please specify)		<input type="checkbox"/> Lottery		<input type="checkbox"/> Other (please specify)	
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Source of wealth, i.e. aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance		<input type="checkbox"/> Gift		<input type="checkbox"/> Sale of Business	
	<input type="checkbox"/> Salary		<input type="checkbox"/> Pension		<input type="checkbox"/> Investment income	
	<input type="checkbox"/> Sale of assets (please specify)		<input type="checkbox"/> Lottery		<input type="checkbox"/> Other (please specify)	
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Registered Address PO or C/O will not be accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

Second additional applicant details						
Registered Name						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance		<input type="checkbox"/> Gift		<input type="checkbox"/> Sale of Business	
	<input type="checkbox"/> Salary		<input type="checkbox"/> Pension		<input type="checkbox"/> Investment income	
	<input type="checkbox"/> Sale of assets (please specify)		<input type="checkbox"/> Lottery		<input type="checkbox"/> Other (please specify)	
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Source of wealth, i.e. aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance		<input type="checkbox"/> Gift		<input type="checkbox"/> Sale of Business	
	<input type="checkbox"/> Salary		<input type="checkbox"/> Pension		<input type="checkbox"/> Investment income	
	<input type="checkbox"/> Sale of assets (please specify)		<input type="checkbox"/> Lottery		<input type="checkbox"/> Other (please specify)	
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Registered Address PO or C/O will not be accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

Third additional applicant details						
Registered Name						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Sale of Business <input type="checkbox"/> Salary <input type="checkbox"/> Pension <input type="checkbox"/> Investment income <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Lottery <input type="checkbox"/> Other (please specify)					
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Source of wealth, i.e. aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Sale of Business <input type="checkbox"/> Salary <input type="checkbox"/> Pension <input type="checkbox"/> Investment income <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Lottery <input type="checkbox"/> Other (please specify)					
	Further supporting documentation may be requested if deemed necessary to verify the above information.					
Registered Address PO or C/O will not be accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

** Correspondence will only be sent to the first named applicant/correspondence address. Additional applicants will be required to provide confirmation of residential address details for anti-money laundering verification purposes.

**ULTIMATE ECONOMIC BENEFICIARY OWNERS DECLARATION –
TO BE COMPLETED WHERE THE INVESTOR(S) IS/ARE NOT A NATURAL PERSON**

We have noted below any beneficiary owner* of the registered investor

Beneficiary Owner 1 (where applicable)	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type ¹	
Date of Birth (if individual)	

Beneficiary Owner 2 (where applicable)	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type ¹	
Date of Birth (if individual)	

Beneficiary Owner 3 (where applicable)	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type ¹	
Date of Birth (if individual)	

¹: e.g. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

Beneficiary Owner 4 (where applicable)	
Registered Name	
Residential Address (PO Box not allowed)	
Entity Type ¹	
Date of Birth (if individual)	

A beneficial owner is considered by the Fund to be an individual or corporate entity

- (a) which ultimately owns or controls whether through direct or indirect ownership or control (including through bearer shareholdings) more than 25 per cent of the shares or voting rights in the investor, or
- (b) otherwise exercises controls over the management of the investor.

Intermediary Details (if applicable)					
Broker ID			Branch ID		
Broker Name					
Broker Address					
Representative Name			Representative ID		
Contact Details	Telephone		Facsimile		Email

My Treasury / Sungard (Please tick if applicable)
*I/ *We provide authorisation for account information to be shared with the *My Treasury / *Sungard platform where required. <input type="checkbox"/> *Please delete as appropriate.

Due Diligence Documentation: Associated Parties

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

Name	
Address	
Nationality	
Date of Birth	

Name	
Address	
Nationality	
Date of Birth	

Name	
Address	
Nationality	
Date of Birth	

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

Signature _____

Print Name _____

Date _____

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

Bank Account Details for Redemption and Distribution Payments

Please list the details of the account to which redemption proceeds, and/or dividend distributions should be paid. Payments will only be made to a bank account held in the name of the registered shareholder. No Third Party Payments will be made. Redemptions will not be processed on non cleared/verified accounts.

Both IBANS & SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA.

Amendments to investors’ payment instructions will only be effected upon receipt of an original instruction which has been duly authorised. In the case of joint accounts, instructions will only be made upon receipt of instruction duly signed by all applicants.

The Administrator does not accept any responsibility for the bank account details quoted and any payments made using these details will be at your risk.

Correspondent Bank Name	
Correspondent Bank Address	
Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire	
Beneficiary Bank Name	
Beneficiary Bank Address	
Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire	
Beneficiary Account Name	
Beneficiary Account Number	
Payment Type (please select)	MT202 <input type="checkbox"/> / MT103 <input type="checkbox"/>
Currency	
Reference	

Dividend Policy

Please tick option as appropriate. Failure to complete this section will result in automatic reinvestment of dividends

Dividend Options	Cash <input type="checkbox"/>	Reinvest <input type="checkbox"/>
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For cash dividend option, cash, payment will be made to the bank account listed above, net of bank charges.

Customer Information Notice – Common Reporting Standard

The Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (“**the Standard**”) and, specifically, the Common Reporting Standard (“**CRS**”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Company is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

In certain circumstances the Company may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the Company with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the Company to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Company;

- The name, address, jurisdiction of residence, tax identification number and date and place of birth (in the case of an individual) of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period;
- the currency in which each amount is denominated.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the Company) may adopt the “wider approach” for CRS. This allows the Company to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The Company can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the Company’s tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only:

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

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard.

Foreign Account Tax Compliance Act and the Common Reporting Standard

I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company, the Investment Manager and the Administrator, the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Investment Manager and the Administrator may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Investment Manager and the Administrator (as applicable). If relevant, I/we agree to notify the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Investment Manager and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Investment Manager and the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Investment Manager or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and the Custodian are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company and the Custodian against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

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

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

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

Data Protection

Company

I/We hereby acknowledge that my/our personal information will be handled by the Administrator (as data processor on behalf of the Company) in accordance with the Irish Data Protection Acts 1988 to 2003, as amended from time to time. I/We also acknowledge that this information will be processed by the Administrator for the purposes of carrying out the services of administrator, registrar and transfer agent of the Company and to comply with legal obligations including legal obligations under company law and anti-money laundering legislation. I/We acknowledge that the Administrator or Company will disclose my/our information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as the auditors, the Irish Revenue Authorities pursuant to the EU Savings Directive and the Central Bank or agents of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements. I/We hereby consent to the processing of my/our information, which may include (1) the recording of telephone calls with the Administrator for the purpose of confirming data, (2) the disclosure of my/our information as outlined above to the Investment Manager or UTI (3) the disclosure of my/our information where necessary, or in the Company's or the Administrator's legitimate interests, to the MLRO and/or any company in the Administrator's and/or {insert the Client's name - keep client name generic} and/or the Investment Manager's and/or the {insert the Client's name keep client name generic} group of companies, or (4) the disclosure of my/our information to agents of the Administrator, including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland. I/we acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. For the avoidance of doubt the Company shall be considered a data controller in accordance with the Irish Data Protection Acts and the Administrator shall be considered a Data Processor.

Politically Exposed Persons

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

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

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

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

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

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

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

- a. any spouse of the PEP;
- b. any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- c. any child of the PEP;
- d. any spouse of a child of the PEP;
- e. any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- f. any parent of the PEP;
- g. any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

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

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

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

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

SECTION A: TO BE COMPLETED ONLY IF THE PEP RULES APPLY WITH REFERENCE TO THE ABOVE DEFINITIONS
the application is being made by a PEP / immediate family member of a PEP / close associate of a PEP
OR
the applicant has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP
OR
the application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP
OR
it is intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP

Name of PEP		Address of PEP	
Office of PEP		Relationship of Applicant or Applicant's Beneficial Owner to PEP	

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

Inheritance Gift Sale of Business

Salary Pension Investment income

Sale of assets (please specify) Lottery Other (please specify)

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

SECTION B: PLEASE TICK BOX BELOW IF THE PEP RULES DO NOT APPLY WITH REFERENCE TO THE DEFINITIONS ABOVE:

I/we confirm that the application is NOT being made by a PEP / immediate family member of a PEP / close associate of a PEP
AND
the applicant does not have a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP
AND
the application is NOT being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP
AND
it is NOT intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP

US Person Confirmation

Please complete EITHER SECTION A OR SECTION B as applicable

SECTION A: PLEASE TICK BOX AND DELETE AS APPLICABLE IF THE STATEMENT BELOW IS CORRECT

I/We confirm that I am/we are a US Person (as defined in the Prospectus) and am/are acquiring Shares in the Company on behalf of, or for the benefit of, a US Person, OR I/we intend to transfer any Shares which I/we may purchase to any US Person.

PLEASE SUPPLY A COPY OF THE US INTERNAL REVENUE SERVICE FORM W-9 OR AN ORIGINAL W-8 BEN IF THE BENEFICIAL OWNER IS A NON-US PERSON.

SECTION B: PLEASE TICK BOX AND DELETE AS APPLICABLE IF THE STATEMENT BELOW IS CORRECT

I/We confirm that I am/we are not a US Person (as defined in the Prospectus) and am/are not acquiring Shares in the Company on behalf of, or for the benefit of, a US Person, nor do I/we intend to transfer any Shares which I/we may purchase to any US Person

Personal Portfolio Investment Undertaking (PPIU)
*I/We confirm that *I am/we are an Irish Resident or Irish Ordinary Resident who is a director or has a relationship with a director of the Company. <input type="checkbox"/>
Please enter name(s) of PPIU _____
<i>*Delete as appropriate</i>

UCITS IV
By signing this Application Form, I/we acknowledge that *I/we have viewed, reviewed and understood the Key Investor Information Document (KIID) applicable to the relevant Share class(es) to which this Application Form relates in good time and prior to making an application for Shares of such Class(es).
<i>*Delete as appropriate</i>

Operation of Cash Accounts
I/We acknowledge that the Company operates a number of cash accounts in different currencies in its name into which (i) subscription monies received from investors who have subscribed for Shares are deposited and held until Shares are issued as of the relevant Dealing Day; and (ii) redemption monies due to investors who have redeemed Shares are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shareholders are deposited and held until paid to such Shareholders (hereinafter referred to as "Cash Account(s)"). We acknowledge that all subscriptions, redemptions and dividends payable to or from the Company are channeled and managed through the Cash Accounts.
I/we acknowledge that my / our subscription monies/ redemption monies / dividend monies will be paid into the Cash Accounts, that such monies will be treated as an asset of the Company and I/we will not benefit from the application of any investor money protection rules (i.e. the monies will not be held on trust as investor monies for me/us) and that I/we will be an unsecured creditor of the Company (i) with respect to the amount subscribed for Shares and held in the Cash Account until such Shares are issued to me/us as of the relevant Dealing Day or (ii) with respect to the redemption/dividend amount to be paid and held in the Cash Account until such amount is paid to me/us (whichever is applicable).
I/we acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the "AML Requirements"), redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by the Company or its delegate as required under the AML Requirements, redemption monies or dividend monies will be held in a Cash Account and shall remain an asset of the Company and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditors of the Company for the account of the Company in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the Company has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.
I/we acknowledge that in the event of an insolvency of the Company while my/our monies are held in Cash Accounts there is no guarantee that the Company will have sufficient funds to pay unsecured creditors in full. I/we acknowledge that we have been advised by the Company to ensure that all relevant documentation requested by the Company in order to comply with AML Requirements is submitted to the Company promptly on subscribing for Shares in the Company.
I/we acknowledge that the following risks arise in relation to the operation of the Cash Accounts:-
(i) in the event that subscription monies received and held in a Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor as of the relevant dealing day, the Company may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Company), in which case such loss will need to be discharged out of the assets of the Company and therefore will represent a diminution in the Net Asset Value per Share for existing Shareholders of the Company; and
(ii) in the event that redemption or dividend monies held in a Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to payment to the relevant investor/Shareholder, the Company may be obliged to make good any losses suffered by the investor/Shareholder (in its capacity as a general creditor of the Company), in which case such loss will need to be discharged out of the assets of the Company and therefore will represent a diminution in the Net Asset Value per Share for existing Shareholders of the Company; and
(iii) in the event of an insolvency of the Company, there is no guarantee that the Company will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a dealing day and which are held in the Cash Account and investors / Shareholders due redemption / dividend monies which are held in Cash Accounts will rank equally with all other unsecured creditors of the Company and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors by the insolvency practitioner. Therefore, in such circumstances, the investor subscribing for Shares may not recover all monies originally paid into the Cash Account in relation to the application for Shares and the redeeming investor entitled to redemption monies and the shareholder entitled to a dividend payment may not recover all monies originally paid into the Cash Account for onward transmission to that investor/Shareholder.
Terms used in this declaration are defined in the Prospectus.

Declarations and Signatures

I/We, having received and considered a copy of the Prospectus, hereby confirm that this application is based solely on the current Prospectus and the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the Company.

I/We undertake to observe and be bound by the provisions of the Articles of Association of the Company (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).

I/We hereby authorise the Transfer Agent to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me/us in written form, or by facsimile.

I/We hereby agree to indemnify and keep indemnified the Company, the Transfer Agent, Depositary, the Investment Adviser and the Investment Manager (together the "Service Providers") against any claim, loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may arise directly or indirectly out of any failure to comply with the terms of this Application Form (together "Loss" or "Losses") which shall include but is not limited to:-

- i. Any Loss arising directly or indirectly out of late and/or failed settlement arrangements by me / us;
- ii. Any Loss arising directly or indirectly out of failure to process the application where such information which is required by the Company or its Service Providers has not been supplied by me / us or any information which has been supplied is inaccurate, a misrepresentation or a breach of any warranty condition, covenant or agreement set forth in this Application Form or other document provided by me / us to the Company or its Service Providers;
- iii. Any Loss arising directly or indirectly from the Company or its Service Providers acting upon Instructions from me / us and for any late, incomplete, inaccurate or unclear Instructions; Any Loss arising directly or indirectly from the issue of facsimile or automatically generated instructions (e.g. SWIFT, FTP etc.) including but not limited to any failure or error in transmission. The Transfer Agent and the Company 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;
- iv. Any Loss which may be incurred by or made against the Company or any of its Service Providers as a result of any investment action taken from time to time by the Investment Manager in reliance on or in anticipation of, and prior to, the monies being invested in the Company pursuant to this application being received, due to any failure or delay in settlement of such monies;
- v. Any Loss arising as a result of any of the declarations made herein being untrue or as a result of my / our failure to notify the Company or the Transfer Agent of a change in status (relating to tax residency or otherwise) which would render any of the declarations herein untrue subsequent to the date of this application;
- vi. Any Loss arising to the Company by reason of the Company becoming liable to account for tax on the happening of an event giving rise to a charge to taxation as a result of my / our holding of Shares in the Company.

I / We hereby indemnify and hold harmless each of the Directors, the Company, the Service Providers and the Shareholders of the Company (each an "Indemnified Party") from any claims, demands, proceedings, liabilities, damages, losses, costs and expenses directly or indirectly suffered or incurred by such Indemnified Party arising out of or in connection with the failure of me / us to comply with my / our obligations to transfer, or deliver for redemption, his/her Shares if so directed by the Directors or he/she fails to make the appropriate notification to the Company in accordance with the provisions of the Prospectus.

I/We consent to any notice or other document to be sent by the Company or the Transfer Agent to me/us as a Shareholder, by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to me/us by post or by e-mail.

I/We confirm that I/we have the capacity and am/are duly authorised to complete this form and to make the representations and give the indemnities referred to herein.

I/We agree to provide these representations to the Company and its Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the Company and/or its Directors may reasonably require to substantiate such representations.

(In respect of joint shareholdings only). We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor (s) of us or the executor or administrator of such survivor(s)

I/ We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Company by me/us shall be governed by them, and I/we agree to notify the Company or the Transfer Agent immediately, if any representation or warranty are no longer accurate and to abide by any directions from the Company or the Transfer Agent arising as a result.

I/We confirm that being a person they I am/ We are over 18 years of age.

I/We hereby certify that I am/we are aware of the risks involved in the proposed investment as set out in the Prospectus.

I/We confirm that I am/we are in agreement with the distribution policy as outlined in the Prospectus.

I/We declare that the information contained in the declarations completed above is true and correct.

I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial subscription all transactions including additional subscriptions will be blocked pending receipt of the outstanding documentation.

I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial request for documentation all transactions including additional subscriptions will be blocked pending receipt of the outstanding documentation

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

I/We acknowledge that, owing to anti-money laundering and counter terrorist financing requirements operating within their respective jurisdictions, the Company, its Directors, the Transfer Agent, the Investment Manager and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Company, its Directors, the Transfer Agent, the Investment Manager and any distributor which may be appointed shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested by the parties referred to and has not been provided by me/us. I / we also warrant and declare that the monies being invested pursuant to this agreement do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.

I/We declare that I am/we are not a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person , or I/we have completed the appropriate Politically Exposed Person's section of the form

I/We further agree to provide the Company or its appointed Administrator with any additional documentation that it or they may require from time to time in accordance with current anti-money laundering and counter terrorist financing legislation including where I/We meet the definition of a politically exposed person* or are an immediate family member* or close associate* of such a politically exposed person.

Investing as an Intermediary or on own behalf

Please indicate below whether the investment is being made on own behalf or as an intermediary.

I/we* confirm that I/we* are applying for the shares on my/our* own behalf.

I/we* confirm that I/we* are applying for the shares as an intermediary on behalf of underlying shareholders / beneficiaries.

**Delete as appropriate*

Declaration of Residence Outside the Republic of Ireland

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

Terms used in this declaration are defined in the Prospectus. Please select either A or B

A - Declaration on Own Behalf

- i. I/ We* declare that I am/we* are applying for the Shares on my own/our own behalf/on behalf of a company* and that I am/we are/the company* is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company* is not currently an Irish Resident or Irish Ordinary Resident, and should I/we/the company* become an Irish Resident, I/we will so inform you, in writing, accordingly.

**Delete as appropriate*

B - Declaration as Intermediary

- i. I/ We* declare that I am/we are* applying for Shares on behalf of persons who will be beneficially entitled to the Shares, and who to the best of my/our* knowledge and belief, are neither an Irish Resident or Irish Ordinary Resident, and
- ii. I/ we* also declare that unless I/we* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us* from the date of this application will be made on behalf of such persons; and I/we* will inform you in writing if I/we* become aware that any person, on whose behalf I/we* hold Shares, becomes an Irish Resident.

**Delete as appropriate*

AUTHORISATION

I/We agree to be bound by the Declarations, Representations, Consents and Indemnities set out in this Application Form

Signature (1)

Capacity of Authorised Signatory

Name Authorised Signatory (1)

Signature (2)

Capacity of Authorised Signatory

Name Authorised Signatory (2)

Signature (3)

Capacity of Authorised Signatory

Name Authorised Signatory (3)

Signature (4)

Capacity of Authorised Signatory

Name Authorised Signatory (4)

Date

Important Information

Non resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.

To be valid, this application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant and in the case of joint applicants, each must sign. In the case of a corporation, the application must be signed by authorised signatories as agreed in the corporate signing mandate.

If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

Applicants who are resident or ordinarily resident in the Republic of Ireland or are an Exempt Irish resident as defined in the Prospectus, please contact the Transfer agent immediately.

AML CONFIRMATION FOR NOMINEES / INTERMEDIARIES

This confirmation can only be completed by designated bodies regulated for anti money-laundering purposes by the appropriate regulator in one of the following countries Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Croatia, Curacao, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, French Polynesia, Germany, Greece, Guernsey and Jersey (Channel Islands), Hong Kong, Hungary, Iceland, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mayotte, Mexico, Netherlands, New Caledonia, Norway, Poland, Portugal, Romania, Singapore, Saint Maarten, Saint Pierre & Miquelon, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, United Kingdom. United States of America, Wallis and Futuna (please note this list is subject to change).

DESCRIPTION OF INVESTOR	DESIGNATED BODY INVESTING AS AN
	INTERMEDIARY <input type="checkbox"/> NOMINEE COMPANY <input type="checkbox"/>

RELATIONSHIP OF CONFIRMATION PROVIDER (REGULATED ENTITY) TO INVESTOR	INVESTOR <input type="checkbox"/>
	PARENT OF INVESTOR <input type="checkbox"/>

Name of Regulated Entity _____

Name of Regulator _____

Address of Regulated Entity _____

Entity Self-Certification for FATCA and CRS

Instructions for completion and Data Protection notice.

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

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

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

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

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

(Mandatory fields are marked with an *)

*Section 1: Account Holder Identification

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

Country of Incorporation or Organisation: _____

*Current (Resident or Registered) Address:

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

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

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

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

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

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

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

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

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

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

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

***Section 5: Entity's CRS Classification**

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

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

5.1 Financial Institutions under CRS:

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

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

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

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

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

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

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

Section 6: Controlling Persons

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

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

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard. [http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-com mentaries/#d.en.345314](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314)

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

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

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

i.	
ii.	
iii.	

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

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

***Section 7: Declarations and Undertakings**

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

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

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

***Authorised Signature(s):**

***Print Name(s):**

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

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

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

Instructions for completion and Data Protection Notice

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

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

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

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

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

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

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

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

(Mandatory fields are marked with an *)

*Section 1: Account Holder/Controlling Person Identification

*Account Holder / Controlling Person Name: _____

*Current Residential Address:

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

Mailing address (if different from above):

Number: _____ Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____ Country: _____

*Place and Date Of Birth

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

*Date of Birth: _____

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

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

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

OR

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

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

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

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

a) You are tax resident in a Jurisdiction that does not issue a (TIN),

or,

b) You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

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

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

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

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

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

Section 4 – Type of Controlling Person

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

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

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

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

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

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

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

Data Protection - Customer Information Notice :

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

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

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

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

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

*Authorised Signature: _____

*Print Name: _____

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

*Capacity (if Controlling Person): _____

DATA PRIVACY STATEMENT

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

As a consequence of your investment, the Fund acting as a data controller may itself (or through third parties including but not limited to Citibank Europe plc (the “**Administrator**”), UTI International (Singapore) Private Limited (the “**Investment Manager**”), the Company Secretary, the Money Laundering Reporting Officer, Bridge Consulting Limited (the “**Governance Services Provider**”) (together the “**Service Providers**”)) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require.

In certain circumstances, the Investment Manager may itself use your personal data for its own purposes and as a result be considered a data controller of such data. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against the Investment Manager.

In this regard, please note the following:

Purposes of Processing and Legal Basis for Processing

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

Processing Activity by or on behalf of the Fund	Legal Basis for Processing
Where you are a natural person, managing and administering your holdings in the Fund and any related account on an ongoing basis.	Performance of the contract between the Fund and you.
Where you are a natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Fund;	Performance of the contract between the Fund and you.
Where you as an investor are a non-natural person, disclosures to third parties such as auditors, regulatory bodies, tax authorities and technology providers in the context of the day to day operations of the Fund.	Pursuing the legitimate interests of the Fund in managing and administering the holdings of the non-natural persons in the Fund and any related account on an ongoing basis.
Complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under Fund law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation.	Compliance with a legal obligation to which the Fund is subject.

Processing Activity by or on behalf of the Fund	Legal Basis for Processing
<p>(i) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Fund, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes.</p>	<p>Pursuing the legitimate interests of the Fund including:</p> <p>(i) For the Fund or its delegate to enjoy the benefit of, enforce or defend its rights and perform its obligations in connection with the contract between the Fund and you.</p> <p>Further information relating to the balancing test undertaken by the Fund in respect of such processing is available upon request.</p>

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

Consent

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes outlined below, the Fund and the Investment Manager seek your consent.

Consent to Direct Marketing by the Investment Manager or entities within its group

The Fund and the Investment Manager seek your consent to the transfer of your personal data to, and use by, the Investment Manager and other entities within its group to send you information about other investment products or investment services by letter, by telephone, by email or by other reasonable means of communication.

You have a right not to receive such information. If you consent to receive such information and / or marketing material, please tick here and provide your contact details below:

Please return this section by hand, post or courier, for the attention of Manish Khandelwal at UTI International (Singapore) Pte Ltd, 3 Raffles Place, #08-02 Bharat Building, 048617 Singapore or by e-mail at manish.khandelwal@utifunds.com.sg at your earliest convenience.

FIRST NAME: _____ LAST NAME: _____
 ADDRESS: _____
 PHONE NUMBER: _____
 EMAIL ADDRESS: _____

You have a right to withdraw the consent(s) provided above at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Fund using the details outlined under “Contact Us” below.

You also have a right to object to the processing of your personal data by the Fund or the Investment Manager or any other entity within its group for direct marketing purposes.

The performance of this contract with the Fund is **NOT** conditional on your consent to direct marketing

Profiling and Screening

The Fund and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“EU”), the United Nations (“UN”), Her Majesty’s Treasury (“HMT”) and the Office of Foreign Assets Control (“OFAC”) for the purposes of complying with for the purposes of complying with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 as may be amended or replaced from time to time and with UN, EU and other applicable sanctions regimes. The implementation of such PEP screening and financial sanctions screening programmes may result in the Fund or its Service Providers refusing an application for Shares in the Fund or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your Shares appear on such screening programmes. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Fund or its Service Providers. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR.

Undertaking in connection with other parties

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

Disclosures to Service Providers and / or Third Parties

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Fund and its or their duly appointed agents and any of related, associated or affiliated companies within the Citi or UTI group(s) for the purposes specified above.

These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The Fund may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities and technology providers.

Transfers Abroad

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

Where data transfers outside of the EEA take place, the Fund has taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in

particular the implementation of binding corporate rules between companies within the Citi or UTI Group and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please see contact details in the “Contact us” should you wish to obtain information concerning such safeguards.

Data Retention Period

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

Your data protection rights

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

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

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

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

Failure to provide personal data

As outlined in the section titled “**Purposes of Processing and Legal Basis for Processing**”, the provision of personal data by you is required for us to manage and administer your holdings in the Fund and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you **and/or** may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Fund.

Contact us

If you have any questions about our use of your personal information by the Fund or by the Investment Manager, please contact Manish Khandelwal at the following email address/using the following contact telephone number:-manish.khandelwal@utifunds.com.sg / +65 65339190