

# SHARE APPLICATION FORM

## Granahan Funds plc (the "Company") Granahan US SMID Select Fund (the "Fund")

Please complete this form in blue or black ink using BLOCK CAPITALS, and return together with applicable documentation required in connection with anti-money laundering procedures detailed on page 12.

### Granahan Funds PLC

C/O RBC Investor & Treasury Services Ireland Limited  
4th Floor  
One George's Quay Plaza  
George's Quay  
Dublin 2  
Ireland

Fax: +353 1 6130401

Telephone: +353 1 4406555

**Your personal information will be handled by the RBC Investor & Treasury Services Ireland Limited (the "Administrator") or its duly appointed delegates as Data Processor for the Company in accordance with the General Data Privacy Regulation (Regulation (EU) 2016/679) ("Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners.**

The original application form should be sent without delay to "the Administrator". Redemption proceeds will not be processed until the Administrator is in receipt of the original application form and appropriate anti-money-laundering documentation. The applicant ("Applicant"), having received and read a copy of the prospectus for the Company and applicable key investor information document and sub-fund supplement in respect to the Fund hereby applies to invest in the Fund, as indicated in the table below:

FUND NAME	CURRENCY <sup>1</sup>	SHARE CLASS	AMOUNT / NO. OF SHARES (PLEASE DELETE ONE)	ISIN CODE
Granahan US SMID Select Fund	USD	Class A Accumulating		IE00BL0L4T62
Granahan US SMID Select Fund	GBP	Class A Accumulating		IE00BL0L4W91
Granahan US SMID Select Fund	EUR	Class A Accumulating		IE00BL0L4Y16
Granahan US SMID Select Fund	USD	Class A Distributing		IE00BL0L4V84
Granahan US SMID Select Fund	GBP	Class A Distributing		IE00BL0L4X09
Granahan US SMID Select Fund	EUR	Class A Distributing		IE00BL0L4Z23
Granahan US SMID Select Fund	USD	Class I Accumulating		IE00BL0L5042
Granahan US SMID Select Fund	USD	Class I Distributing		IE00BKTNRH56

# SHARE APPLICATION FORM

## Granahan Funds plc (the "Company") Granahan US SMID Select Fund (the "Fund")

Subscription monies for the shares of each fund of the Company should be remitted in the designated currency of the relevant fund or class, unless otherwise agreed with the Administrator.

### SETTLEMENT DETAILS

<b>USD</b>	<b>GBP</b>
Intermediary Bank: Bank of America New York	Intermediary Bank: Bank of America London
Swift Code: BOFAUS3N	Swift Code: BOFAGB22
Beneficiary Bank: RBC Investor Services Bank SA Luxembourg	Beneficiary Bank: RBC Investor Services Bank SA Luxembourg
SWIFT: FETALULL	SWIFT: FETALULL
Final Beneficiary: Granahan Funds Plc Collection Account	Final Beneficiary: Granahan Funds Plc Collection Account
IBAN Number: LU353417820030788300	IBAN Number: LU643411820030780900
Ref:	Ref:

INTERMEDIARY  
DETAILS  
(IF APPLICABLE)

Broker ID

Branch ID

Broker Name

Broker Address (line 1)

Broker Address (line 2)

Representative Name

Representative ID

Email Address

Tel No

Fax No

### Intermediary MiFID Categorisation

Please indicate the MiFID client category under which you deal with the account holder for this account (Retail Client, Professional Client or Eligible Counterparty). Note that if you fail to answer this question we will assume the account holder is a MiFID Retail Client and apply appropriate rules. Please select:

- Retail Client
- Professional Client
- Eligible Counterparty

### Intermediary Type of Business

Please indicate whether the account will be used to transact advised or execution-only business. Please select:

- Advised Business
- Execution-only Business

### Omnibus Accounts

UK Retail Business must be segregated for RDR purposes. In case of an Omnibus account set up, please indicate whether this will be used to handle UK Retail investments. If it will, all instructions on the account will be subject to RDR rules. Please select:

- Omnibus Account with UK Retail Business
- Omnibus Account - no UK Retail Business

The Applicant acknowledges that due to anti-money laundering requirements operating within its jurisdiction, the Company or the Administrator (acting on behalf of the Company), may require directly or via a distributor, further identification of the Applicant, or of any underlying investor on whose behalf the Applicant is applying for Shares, before the shares of a fund can be registered in the Applicant's name and the Company and the Administrator 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 required and has not been provided by the Applicant or the underlying investor.

The Applicant hereby applies for shares in the Fund on the terms and conditions set out in the memorandum and articles of association of the Company (the "Articles"), this application form and the prospectus and the relevant supplement for the Company, as may be amended from time to time (the "Prospectus"). The Applicant agrees to be bound by the terms of the Prospectus and the Articles.

The Applicant confirms that a copy of the latest version of the applicable key investor information document (the "KIID") has been supplied in good time before subscribing for shares in the Company and that the Applicant has read the latest version of the KIID in good time before subscribing for shares in the Company. The Applicant confirms that any future investments in any fund of the Company or share class can be transacted on the basis of this confirmation. The Applicant acknowledges and agrees that the latest version of the KIID for each share class is available on [www.granahan.com/ucits](http://www.granahan.com/ucits) and that the Applicant will read and review the latest version of the KIID prior to making any subsequent application for shares in the Company. The Applicant confirms that in the case where an investment is being made on behalf of an underlying investor, the Applicant has reviewed the latest version of the KIID with the underlying investor in good time prior to subscribing for shares in the Company. The Applicant confirms that the underlying investor is aware that the latest version of the KIID is available on [www.granahan.com/ucits](http://www.granahan.com/ucits) and has read the latest version of the KIID.

The Applicant confirms that, being a person, it is 18 years or over, that the Applicant is not a U.S. Person (as defined in the Prospectus) and is not acquiring shares in the Company on behalf of, or for the benefit of, a U.S. Person nor does the Applicant intend to transfer any shares in the Company for which the Applicant may subscribe to any person who is a U.S. Person.

The Administrator is hereby authorised and instructed to accept and execute any instruction, (including but not limited to any instructions regarding subscriptions, switches or redemptions of shares or any payment in relation to same or otherwise) in respect of shares in the Company, given by the Applicant in written form, by facsimile, by telephone or by electronic means. If the instructions are given by the Applicant by telephone, the Applicant undertakes to confirm them in writing. The Applicant hereby agrees to indemnify each of the Administrator and the Company and agrees to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by the Applicant, i.e. facsimile, telephone instructions confirmed by the Applicant in writing or by electronic means. The Administrator 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.

Amendments to investors' registration details and payment instructions will only be effected on receipt of an original instruction which has been duly authorized.

The Applicant is fully empowered and has authority to make this investment whether the investment is on its own behalf or on the behalf of another person or institution.

The Applicant confirms that it has the right and the authority to request a redemption or repurchase of shares in the Company and confirms that the Applicant will comply with the redemption and repurchase procedures set out in the Prospectus. All redemption or repurchase instructions must be given in writing, quoting the relevant account number and be accompanied by the relevant repurchase documentation.

The Applicant hereby agrees to indemnify and keep indemnified the Company, the Administrator and the Custodian, their affiliates, and the officers, directors, employees and professional advisers of any of the foregoing, from and against any loss arising to either of them as a result of any breach of any representation, warranty, covenant, undertaking, agreement, declaration, acknowledgement, instruction or confirmation by the Applicant in this application form or from the Applicant's failure to disclose any relevant details or provide it with all the information requested by the Company, the Administrator or the Custodian. In the case of delay or failure to provide satisfactory information, each of the Company, and the Administrator, may take such action (including declining to accept an application) as they think fit.

(In respect of joint Applicants only). The Applicants direct that on the death of one of them the shares for which they hereby apply be held in the name of and to the order of the survivor or survivors of the Applicants or the executor or manager of such survivor or survivors.

The Applicant undertakes to observe and be bound by the provisions of the Articles and applies for the shares issued in relation to this application to be entered in the register of shareholders in the name of the Applicant (or in the name of a nominee or agent).

The Applicant agrees to accept such lesser number of shares in the Company, if any, than may be specified above in respect of which this application may be accepted.

The Applicant acknowledges that shares in the Company are subject to investment risks, including possible loss of principal amount invested. The Applicant confirms its agreement with the distribution policy as outlined in the Prospectus.

The Applicant understands that the representations and warranties made herein are continuous and all subsequent subscriptions of shares in the Company by the Applicant shall be governed by them, and the Applicant agreed to notify the Company or the Administrator promptly, if any representation or warranty should cease to be true at any time.

The Applicant consents to any notice or other document to be sent by the Company or the Administrator to the Applicant as a shareholder being sent by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to the Applicant by post or by e-mail.

The Applicant acknowledges that it will be entitled to look solely to the assets of the Company in respect of all payments in respect of its Shares. If the realised net assets of the Company are insufficient to pay any amounts payable in respect of the relevant shares, the Applicant will have no further right of payment in respect of such shares nor any claim against or recourse to any of the assets of any other fund or any other asset of the Company or of the Administrator or of the Custodian.

Confirmation of ownership will be sent to you on quarterly basis. If you wish confirmation of ownership to be sent to you on a monthly basis please tick and ensure that your contact details are inserted below Yes / No \*

I/We consent to personal information obtained in relation to me/us being processed by the Administrator, the Company, the Depositary or the Investment Manager and their agents, affiliates, delegates and group companies in accordance with the Data Protection Legislation.

I acknowledge that information, including personal data, in relation to me/us will be held, used, disclosed and processed as set out in the Appendix to this Application Form for the purposes cited therein, including for the purposes of (a) managing and administering my/our holdings in the Company and any related account on an ongoing basis; (b) for any other specific purposes where I have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal, tax or regulatory obligations including legal obligations under company law, tax law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including my/our financial adviser (where appropriate), regulatory bodies, taxation authorities, auditors, technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) For other legitimate business interests of the Company or its delegates.

I/We hereby acknowledge my/our right of access to and the right to amend, erase, transfer and rectify my/our personal data, as provided herein in accordance with the Data Protection Legislation.

I/We understand that the Company is a data controller, and certain of its service providers also are, and will hold any personal information provided by me/us in confidence and in accordance with the Data Protection Legislation.

I/We acknowledge that the recording of telephone calls that I/we make to and receive from the Administrator, the Company, or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies may be recorded for record keeping, security and/or training purposes.

I/We hereby authorise the Company and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Company for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.

The Administrator or Company may disclose personal information to the Depositary and/or the Investment Manager and/or third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland or agents of the Administrator who process the personal information for anti-money laundering purposes or for compliance with foreign regulatory requirements. The Administrator may and will hold all or part of the personal information in relation to your shareholding in accordance with legal and regulatory requirements even after you have fully redeemed from the Fund.

I/We consent to the processing of my/our information and the disclosure of my/our information as outlined above and to the Investment Manager and where necessary or in the Fund's legitimate interests to any company in the Investment Manager's group of companies or agents of the Company including companies situated in countries outside the European Economic Area, which may not have the same data protection laws as in Ireland.

By checking this box, I/we confirm that I/we have read, acknowledge and accept the Data Protection Notice set out in the Appendix to this Application Form.

**NOTES:**

- Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- In the case of a firm (not a limited company) applications should be in the name(s) of and signed by the proprietor(s).
- To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the application is a company, it must be signed by the company secretary or another authorised officer.
- 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.
- If this form is not fully completed to the satisfaction of the Administrator, the application/transfer may not be accepted.
- The Administrator acting on behalf of the Company reserves the right to reject an application for shares in whole or in part.
- Persons who are resident or ordinarily resident in the Republic of Ireland and who are seeking to apply for shares should contact the Administrator for an application form, which does not include the above declaration. Irish residents who are entitled to payment without deduction of tax should also request the appropriate alternative declaration form from the Administrator.
- Applicants who are resident in Ireland but not a Taxable Irish Person should contact the Administrator for the alternative declaration available for such applicants.

## Granahan Funds plc

<b>DETAILS OF APPLICANTS(S)</b>	<b>FIRST APPLICANT</b>
Registered name of Applicant	
*Registered Address or Principal Place of Business	
Mailing Address (if different from above)	
Country of Taxation	
Taxpayer Identification Number (TIN) if applicable	
Place of Birth (if applicable)	
Citizenship (if applicable)	
Global Intermediary Identification Number (GIIN) (if applicable)	
Email Address	
Tel No.	
Fax No.	
PPS# (Irish Investors only)	

JOINT APPLICANT(S): DETAILS OF UP TO 3 ADDITIONAL HOLDERS MAY BE ADDED TO THE APPLICATION.

	<b>SECOND APPLICANT</b>
Registered name of Applicant	
*Registered Address or Principal Place of Business	
Mailing Address (if different from above)	
Country of Taxation	
Taxpayer Identification Number (TIN) if applicable	
Place of Birth (if applicable)	
Citizenship (if applicable)	
Global Intermediary Identification Number (GIIN) (if applicable)	
Email Address	
Tel No.	
Fax No.	
PPS# (Irish Investors only)	

## Granahan Funds plc

DETAILS OF APPLICANTS(S)	THIRD APPLICANT
Registered name of Applicant	
*Registered Address or Principal Place of Business	
Mailing Address (if different from above)	
Country of Taxation	
Taxpayer Identification Number (TIN) if applicable	
Place of Birth (if applicable)	
Citizenship (if applicable)	
Global Intermediary Identification Number (GIIN) (if applicable)	
Email Address	
Tel No.	
Fax No.	
PPS# (Irish Investors only)	

JOINT APPLICANT(S): DETAILS OF UP TO 3 ADDITIONAL HOLDERS MAY BE ADDED TO THE APPLICATION.

DETAILS OF APPLICANTS(S)	FOURTH APPLICANT
Registered name of Applicant	
*Registered Address or Principal Place of Business	
Mailing Address (if different from above)	
Country of Taxation	
Taxpayer Identification Number (TIN) if applicable	
Place of Birth (if applicable)	
Citizenship (if applicable)	
Global Intermediary Identification Number (GIIN) (if applicable)	
Email Address	



## Granahan Funds plc

Tel No.	
Fax No.	
PPS# (Irish Investors only)	

\* Correspondence will be sent to the mailing address of the First Applicant. PO Boxes should not be provided for the purpose of a registered address.

# Granahan Funds plc

## DETAILS OF APPLICANTS(S) (CONTINUED)

### APPLICANT BANK ACCOUNT DETAILS:

\*Redemption / Distribution proceeds can only be paid to a bank account held in the name of the registered shareholder.

\*\*Effective 1st January 2006 it is compulsory for the Administrator to use both IBANS & BIC Codes for all EUR Payments.

Name of Bank:			
Bank Address:			
Account Name:			
Account Number:		SWIFT:	
IBAN:			

### DIVIDEND OPTION (PLEASE SELECT);

Reinvest Option: automatic purchase of additional shares of the same class equivalent to monthly dividends.

Cash Option: pay all dividends to the redemption bank account listed above.

Should this section not be completed, dividends will be reinvested automatically each month.

Changes to account details such as amending redemption bank accounts can be instructed by:

- One authorised signatory for the account
- Two authorised signatories for the account
- Other (please provide alternative authorisation procedures)

**DECLARATION OF  
RESIDENCE OUTSIDE THE  
REPUBLIC OF IRELAND**

**(THIS SECTION MUST BE COMPLETED AND SIGNED)**

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 that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares/units. Terms used in the declaration are defined in the Prospectus.

**Declaration on own behalf (\*Please delete as appropriate)**

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 resident or ordinarily resident in Ireland, and

» should I/we/the company\* become resident in Ireland I/we will so inform you, in writing, accordingly.

**Declaration as Intermediary (\*Please delete as appropriate)**

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

» who are beneficially entitled to the shares/units; and

» who, to the best of my/our knowledge and belief, are neither resident nor ordinarily resident Ireland.

I/we\* also declare that:

» Unless I/we specifically notify you to the contrary at the time of the application, all applications for shares/units made by me/us\* from the date of the application will be made on behalf of such persons; and

» I/we will inform you in writing, if I/we\* become aware that any person, on whose behalf I/we holds shares/units, becomes resident in Ireland.

**Where the Application is made by an Intermediary, please complete the following by ticking the box:**

**We confirm the following:**

1. We verify the identity of the client on whose behalf we are making investments into your funds.
2. We retain documentary evidence of this verification procedure.
3. We will make this documentation available to RBC Investor & Treasury Services Ireland Limited if so required

## Entity Self-Certification for FATCA and CRS

### **Instructions for completion and Data Protection notice.**

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

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

**(Mandatory fields are marked with an \*)**

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### **\*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: \_\_\_\_\_

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**\*Section 2: FATCA Declaration:**

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

a) The Entity is a **Specified U.S. Person** and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

U.S. TIN: \_\_\_\_\_

Or

b) The Entity is not a Specified U.S. Person (Please also complete Sections 3, 4 and 5)

Or

c) The Entity is a US person but not a Specified U.S. Person (Please also complete Sections 4 and 5)

Indicate exemption: \_\_\_\_\_

**\*Section 3: Entity's FATCA Classification** (the information provided in this section is for FATCA, please note your FATCA classification may differ from your CRS classification in Section 5):

**3.1 Financial Institutions under FATCA:**

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	<input type="checkbox"/>
II.	<i>Registered Deemed Compliant Foreign Financial Institution</i>	<input type="checkbox"/>
III.	<i>Participating Foreign Financial Institution</i>	<input type="checkbox"/>

**3.2** Please provide the Entity's **Global Intermediary Identification number (GIIN)**

□□□□□□.□□□□□□.□□.□□□□

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

I.	<p>The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i></p> <p>Please provide the sponsor's name and sponsor's <i>GIIN</i> :</p> <p><b>Sponsor's Name:</b> _____</p> <p>Sponsor's GIIN: □□□□□□.□□□□□□.□□.□□□□</p> <p><b>NOTE:</b> <i>this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p>	<input type="checkbox"/>
II.	<p><b>The Entity is an Exempt Beneficial Owner,</b> Please tick and confirm the category of Exempt Beneficial Owner;</p> <p>I. <input type="checkbox"/> Government Entity</p> <p>II. <input type="checkbox"/> International Organisation</p> <p>III. <input type="checkbox"/> Foreign Central Bank</p> <p>IV. <input type="checkbox"/> Exempt Retirement Fund</p> <p>V. <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p>	<input type="checkbox"/>
III.	<p><b>The Entity is a Certified Deemed Compliant Foreign Financial Institution</b> (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</p> <p>Indicate exemption: _____</p>	<input type="checkbox"/>

IV.	<b>The Entity is a Non-Participating Foreign Financial Institution</b>	<input type="checkbox"/>
V.	<b>The Entity is an Excepted Foreign Financial Institution</b> Indicate exemption: _____	<input type="checkbox"/>
VI.	<b>The Entity is a Trustee Documented Trust.</b>  Please provide your Trustee's name and GIIN Trustee's Name: _____  Trustee's GIIN: □□□□□□.□□□□□□.□□.□□□□	<input type="checkbox"/>

3.4. **Non-Financial Institutions ("NFFE") under FATCA:**

If the Entity is **not a Financial Institution**, please confirm the Entity's FATCA classification below by ticking one of the below categories;

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

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

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

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

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

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

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

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

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

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

**Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

**\*Section 5: Entity’s CRS Classification**

(The information provided in this section is for CRS. Please note an Entity’s CRS classification may differ from its FATCA classification in Section 3 above).

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

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

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

**5.1 Financial Institutions under CRS:**

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

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

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

I.	<b>A Reporting Financial Institution resident in a participating CRS jurisdiction</b>	<input type="checkbox"/>
II.	<b>A Financial Institution Resident in a Non-Participating Jurisdiction</b>  (Please also tick the box that applies)	<input type="checkbox"/>

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



**5.2 Non Financial Institution ("NFE") under CRS:**

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

I.	<b>Active NFE</b> – a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
II.	Active 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 on which the Entity is regularly traded: _____	<input type="checkbox"/>
III.	<b>Active NFE</b> – a Government Entity or Central Bank	<input type="checkbox"/>
IV.	<b>Active NFE</b> – an International Organisation	<input type="checkbox"/>
V.	<b>Active NFE</b> – <i>other</i> than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
VI.	<b>Passive NFE</b> – If this box is ticked please also complete <b>Section 6.1</b> for each of the Controlling Person(s) of the Entity and a separate " <i>Individual (including Controlling Person's Self-Certification for FATCA and CRS form</i> " as indicated in section 6.2 for each Controlling Person(s)	<input type="checkbox"/>

## Section 6: Controlling Persons

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

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

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

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

### **6.1 Controlling Person(s) of the Account Holder:**

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

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

I.	
II.	
III.	

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

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

**\*Section 7: Declarations and Undertakings**

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

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

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

**\*Authorised Signature(s):**

\_\_\_\_\_

**\*Print Name(s):**

\_\_\_\_\_

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

\_\_\_\_\_

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

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

### **Instructions for completion and Data Protection Notice**

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

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

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

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

(Mandatory fields are marked with an \*)

---

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

**\*Account Holder / Controlling Person Name:** \_\_\_\_\_

#### **\*Current Residential Address:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### **Mailing address (if different from above):**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

#### **\*Place and Date Of Birth**

\*Town or City of Birth: \_\_\_\_\_ \*Country of Birth: \_\_\_\_\_

\*Date of Birth: \_\_\_\_\_

**\*Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes:** Please tick either (a) **or** (b) and complete as appropriate.

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

**OR**

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

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

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

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

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

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

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

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

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

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

**Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not required the collection of the TIN issued by such country/jurisdiction)

**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 NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling Person(s) please complete a separate *“Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form* for **each** Controlling Person.

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

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

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

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

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

Data Protection - Customer Information Notice:

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

Development (OECD).

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

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

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

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/> And on the Irish Revenue website <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

\*Authorised Signature:

\_\_\_\_\_

\*Print Name:

\_\_\_\_\_

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

\_\_\_\_\_

\*Capacity (if Controlling Person):

\_\_\_\_\_

Under Irish legislation covering anti-money laundering and the taxation of savings the Company and the Administrator are required to obtain the following documentation to verify the identity, permanent address and tax residency status of all new clients. Please note that the application may not be accepted until all the relevant information has been received. Additional confirmation of identity or authority of the applicant or the source of funds may be required in certain circumstances.

Redemption proceeds will not be processed until the Administrator is in receipt of the required anti-money laundering documentation.

All documentation provided must be in original form or certified\* as being a true copy of the original version

These requirements may vary depending on risk rating for the investor and entity types.

#### **FURTHER INFORMATION REQUIRED FROM INDIVIDUAL APPLICANTS**

The following should be provided for each applicant:

1. Certified copy of current passport, drivers licence or identification card that bears evidence of your identity
2. Two original or certified items bearing evidence of your residential address such as a recent bank, credit card statement, public utility bill or mobile phone invoice. (Must be different types and no more than three months old.)
3. Your tax identification number issued by your country of residence together with certified copy documentary evidence thereof
4. An original or certified copy of your tax residency certificate issued by the tax authorities in the country in which you currently claim residency. (Relevant for applicants resident in one country whose passport or identity card is issued by another Member State of the European Union.)

#### **FURTHER INFORMATION REQUIRED FROM CORPORATE APPLICANTS**

Please note that the Administrator can only accept Application Forms from an entity that has legal capacity to enter into contracts on its own right and may require the constitutive document to legitimate legal status.

\*\*Corporate applicants resident in an EU or FATF country are required to provide the following documentation:

1. Certified copy of the certificate to trade or certificate of incorporation (and any name change)
2. Certified copy of the memorandum & articles of association
3. List of Directors names, occupations, residential & business addresses and date of birth
4. Original authorized mandate for the Directors to open / operate the account
5. An original or certified copy authorized signatory list with specimen signatures on company letterhead
6. For at least two Directors:
  - a. Certified copy of current passport, drivers licence or identification card that bears evidence of your identity
  - b. Two original or certified items bearing evidence of your residential address such as a recent bank, credit card statement, public utility bill or mobile phone invoice. (Must be different types & no more than three months old.)
7. A list of names and addresses of shareholders holding 25% or more of the issued share capital of the company and in the case of individual shareholders, their occupations and dates of birth



\*\* If the applicant is a Designated Body in an EU or FATF country, this information is not required; however we will require evidence of your regulated status from the appropriate regulatory authority.

\* Certified copy: The certification of documents can be carried out by any of the following:

- » Notary Public / Practising Solicitors
- » Police force
- » Chartered & Certified Public Accountants
- » Embassy /Consular staff
- » Any Designated Body

Corporate applicants resident outside a FATF jurisdiction may be required to provide further information on request. Please contact the administrator for further information.

## Appendix 1

### AML

Notes for assistance in completion:

Please complete all sections as directed. Please note failure to fully complete this information may lead to delays in account opening.

Failure to provide requested information & documentation at any stage may lead to the discontinuation of business relationship. This means that your account will be blocked for all activity (all transactions) and your account will be marked as "discontinued" until such time as documentation is forthcoming.

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#### 1. INDIVIDUALS

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##### 1.ACCOUNT HOLDER 1

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Occupation:

Business Area:

- Bar/Night-clubs/Restaurants/Hotels
- Brokers
- Car parks
- Casinos/Gambling
- Casinos/Games/Entertainment parks
- Check cashers
- Commerce of alcohol and cigarettes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)
- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer/ business name if self-employed:

Nationality – please provide details of any dual citizenship held or previously held:

Passport Number:

Issuing Country:

Expiry Date:

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##### 2.ACCOUNT HOLDER 2 – IF APPLICABLE

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Occupation:

Business Area:

- Bar/Night-clubs/Restaurants/Hotels
- Brokers
- Car parks
- Casinos/Gambling
- Casinos/Games/Entertainment parks

- Check cashers
- Commerce of alcohol and cigarettes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)
- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer/ business name if self-employed:

Nationality – please provide details of any dual citizenship held or previously held:

Passport Number:

Issuing Country:

Expiry Date:

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## 2. CORPORATE INVESTOR INFORMATION (INCLUDING FINANCIAL INSTITUTIONS)

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- Bank
- Nominee
- Corporate
- Pension Fund
- Investment/Mutual Fund
- Other Financial Institution
- Foundation/Association
- Government entity
- Trust
- Partnership
- Insurance Company
- Other (please specify):

Business activity:

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**3. ACCOUNT INFORMATION**

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**3.1. BANK ACCOUNT DETAILS\***

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**3.1.1. SUBSCRIPTION PAYMENTS**

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These are mandatory and are related to the bank and accounts from which the subscription amounts will be paid. The account must be in the name(s) of the Account Holder(s) or the account holder must be identified.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

In case payments are made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

Please note that in order to prevent third party payments, we require subscription payments to come from a bank account in the name of the registered account holder.

**Note for Financial Institutions and Intermediaries:**

In order to comply with EU Regulation 2015/847, and FATF SR VII, we require the following information to be included for all subscription wires made to the Fund.

For MT 103, Field 50a is to be used for Ordering Customer's information (either option below, as appropriate)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
50a (option K)	Ordering Customer	The Payer's account number, name and address
50a (option A)	Ordering Customer	The Payer's account number and the BIC

For MT 202 (Field 52)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
52A	Ordering Institution	The Ordering Institution's identifier code (BIC)

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**3.1.2. REDEMPTION PAYMENTS**

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These are mandatory and used for the payment of redemption proceeds. The account must be in the name(s) of the account holder(s).

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

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In case payments must be made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

\* Please be aware that payments to, or for the accounts of third parties are not accepted. Only where the investor is under 18 years, payments will be made to the legal guardian.

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#### 4. TYPE OF INVESTMENT

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I/we confirm that the investment into the Fund:

Is made on my/our own behalf and is not in favour of a third party

If ticked - Please proceed to section 5

Is made on behalf of third party and that the account will reflect:

a Pooled Account (reflecting a pool of underlying clients typically with a generic designation such as "Clients account" or with a designation that makes reference to a region, product or multiple specific customers)

a Segregated Account (a specific account for a single underlying third party)

In such case, please select either one option below:

the designation of the account will refer to the underlying client name

the designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client)

Please indicate whether the account is used to transact "*advised*" or "*execution-only*" business. Per account only one type is possible. If both types of transactions are used, please be advised that two different accounts need to be created. Please note that the information provided is subject to clause **Error! Reference source not found.** of the General Terms and Conditions.

Advised business

Execution-only business

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#### 5. EXPECTED VOLUMES & FREQUENCY (BANKS/ NOMINEES DO NOT NEED TO COMPLETE)

---

Please complete the below section with your expectations in terms of investment in the fund.

**The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.**

---

##### 5.1. EXPECTED FREQUENCY OF TRADING

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Please tick the anticipated frequency.

<input type="checkbox"/> Single transaction	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annual	<input type="checkbox"/> Annual	<input type="checkbox"/> Ad-hoc
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**5.2. EXPECTED INVESTMENT AMOUNT \***

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<input type="checkbox"/> Individuals				
	Expected Investment	Total	EUR	
<input type="checkbox"/> Insurance Companies, Pension Funds, Investment Funds, Listed Companies				
	Expected Investment:	Total	EUR	
<input type="checkbox"/> Other types of investors				
	Expected Investment:	Total	EUR	



**6. ULTIMATE ECONOMIC BENEFICIARY- APPLIES TO ALL INVESTOR TYPES EXCLUDING INDIVIDUAL/ RETAIL INVESTORS**

**6.1. ULTIMATE ECONOMIC BENEFICIARY INFORMATION 1<sup>1</sup>**

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed. Please note for Trusts it includes all Trustees, beneficiaries, settlor and protector where applicable.

**Important:** In case of indirect ownership, please provide details of the beneficiary layers and we will advise what additional information is required

Please provide the information if any of the account holder or the ultimate economic beneficiary(ies) is/are either:

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected:	If applicable, please describe:
<input type="checkbox"/> a person exercising a public function, including for a public agency or public enterprise:	
<input type="checkbox"/> an official or agent of a public international organisation	
<input type="checkbox"/> a person or company manifestly close to or connected with the above persons	

**6.2. ULTIMATE ECONOMIC BENEFICIARY DETAILS**

Surname(s)		First Name	
Date of birth (DD/MM/YYYY) / /	Place & Country of birth	Occupation and area of activity:	Nationality
Passport / ID Number: (circle the right choice)	Issuing Country:	Expiration Date (DD/MM/YYYY) / /	Double Nationality: <input type="checkbox"/> Never <input type="checkbox"/> Renounced <input type="checkbox"/> Yes, which:
Registered Address* Street Number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:
Mailing Address if different from above Street Number	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:
Telephone:	Fax:	E-Mail: @	Mobile-Phone:

\* P.O. BOX AND "IN CARE OF" ADDRESSES ARE NOT VALID REGISTERED ADDRESS. THESE ARE ACCEPTABLE FOR



MAILING PURPOSES.

A large, empty rectangular box with a thin black border, intended for the signature of the ultimate economic beneficiary.

Signature of the ultimate economic beneficiary

A large, empty rectangular box with a thin black border, intended for the date and place of signature.

Date and place of signature

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**7. ECONOMIC ORIGIN OF THE MONIES INVESTED**

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**7.1. WHERE INVESTING IN OWN NAME AND ON OWN BEHALF:**

---

The Account Holder declares that the origin of the funds used for subscription is coming from: (please tick the right choice)

- Sale of real estate (please provide some details)
- Redemption from other investments (please provide some details)
- Savings on salary
- Treasury investment (Corporate)
- Other (please describe)

Main country of origin of the funds invested:

\_\_\_\_\_

Signature of the account holder

Signature of the account holder 2

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**7.2. WHERE INVESTING IN OWN NAME BUT ON BEHALF OF THIRD PARTY:**

---

The Account Holder declares that the origin of the funds used for subscription is coming from: (please tick the right choice)

- Retail Customers      Please tick if High Net Worth      Details:  
Customers
- Institutional Customers
- Other (please describe)

Main country of origin of Client base:

\_\_\_\_\_

Signature of the account holder

Signature of the account holder 2

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**8. DECLARATION BY THE ACCOUNT HOLDER**

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The following declaration is to be signed by each Account Holder:

- Joint or Common owners:           The declaration must be signed by all owners individually.
- Minors:                                 The declaration must be signed by the guardian on behalf of the Minor.
- Corporate:                            The declaration must be signed by a legal representative of the company, supported by documentary evidence of the authorisation to sign on behalf of the corporate.

**The Account Holder**

- 11.1. declares to be over 18 years old and having full capacity to subscribe, hold and deal in shares of the Fund;
- 11.2. understands that its application is subject to verification for receipt and acceptance by the Fund, the Company, the Registrar or any other agent appointed by them;
- 11.3. declares and agrees that any further application for shares by it shall be (i) made or be deemed to be made in accordance with the then relevant documentation and (ii) understood as reiteration of all information made herein;
- 11.4. hereby confirms that the money or assets invested by it are neither directly nor indirectly the proceeds of any criminal act;
- 11.5. declares to have received, read, understood and agreed the applicable Key Investor Information document(s) at the time of the signature of this application form related to the share-classes or sub-funds of the Fund.
- 11.6. declares to agree to provide upon request of the Fund, The Company, the Registrar or any agent they may use, the necessary supporting identification documentation as requested by Irish Law
- 11.7. declares that the information contained in this application form is correct at the time of completion and undertakes to promptly inform the Registrar of any changes.
- 11.8. declares it has been advised about and taken knowledge of the applicable General Terms and Conditions

Empty rectangular box for signature of the account holder or Company representative.

Signature of the account holder or Company representative

Empty rectangular box for signature of the second account holder (if any) or company representative.

Signature of the second account holder (if any) or company representative

Empty rectangular box for date and place of signature of the account holder or Company representative.

Date and place of signature

Empty rectangular box for date and place of signature of the second account holder (if any) or company representative.

Date and place of signature

Name:  
Empty rectangular box for name of the account holder or Company representative.

Name:  
Empty rectangular box for name of the second account holder (if any) or company representative.

Title:  
Empty rectangular box for title of the account holder or Company representative.

Title:  
Empty rectangular box for title of the second account holder (if any) or company representative.

## **Appendix 2**

### **Privacy Notice**

#### **Granahan Funds plc**

This Privacy Notice for Granahan Funds plc (“**Company**”, “**we**”, “**us**”, “**our**”) sets out the categories of personal data we collect from you, how we collect it, what we use it for and with whom we share it in accordance with the General Data Protection Regulation (EU) 2016/679 (“**GDPR**”).

By “personal data” we mean any information relating to you such as your name, contact details, taxpayer identification number, account number, account balance and transaction information or online identifiers such as your IP address. Personal data does not include data where you can no longer be identified from it such as anonymised aggregate data.

The Company is a data controller. This means that we are responsible for deciding how we hold and use personal data about you. Our address is George’s Quay House, 4<sup>th</sup> Floor, One George’s Quay Plaza, George’s Quay, Dublin 2, Ireland. Should you have any questions about this Privacy Notice you can contact us at **info@granahan.com** or via telephone at the office of the Investment Manager, Granahan Investment Management (Waltham, Massachusetts USA), at **+1 (781) 890-4412**.

This Privacy Notice applies to personal data about you that we collect, use and otherwise process in connection with your relationship with us as an investor in the Company.

We may provide supplemental privacy notices on specific occasions when we are collecting or processing personal data about you so that you are fully aware of how and why we are using your personal data. Those supplemental notices should be read together with this Privacy Notice.

#### **What personal data do we collect about you and what do we use it for?**

The categories of personal data about you which we may collect, store and use are set out in the table below and in each case we have indicated what we use your personal data for and our ‘lawful basis’ for processing it. The law specifies certain ‘lawful bases’ under which we are allowed to use your personal data. Most commonly, we will rely on one or more of the following lawful bases for processing your personal data:

- a) Where we need to perform the contract we have entered into with you;
- b) Where we need to comply with a legal obligation; and/or
- c) Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.

Generally we do not rely on your consent as a lawful basis for processing your personal data other than in relation to sending direct marketing communications to you via email or text message. You have the right to withdraw consent to marketing at any time by contacting us on the details given at the beginning of this notice.

The Company’s distributors may also act as data controllers for data provided by you to the distributors as part of the marketing and/or subscription process. In such circumstances, notice of this use will be provided by the relevant distributor to you.

<b>Categories of personal data collected</b>	<b>What we use this personal data for</b>	<b>Lawful Basis</b>
Name, contact details, country/countries of tax residency, place of birth, citizenship, taxpayer identification number, account number, account balance information, transaction history.	To facilitate the opening of your account with us, the management and administration of your holdings in the Company and any related account on an on-going basis, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions and the mailing of account-related materials to you.	Processing is necessary for the performance of your contract with us.
	To carry out anti-money laundering checks and related actions in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an ongoing basis, in accordance with our, our or third party services provider's, applicable anti-money laundering procedures.	Processing is necessary for the purposes of our legitimate interests in complying with legal obligations to which we are subject.
	To report tax information to the relevant tax authorities.	Processing is necessary for the purposes of our legitimate interests in complying with legal obligations to which we are subject.
	To monitor and record calls and electronic communications for (i) processing and verification of instructions; (ii) investigation and fraud prevention purposes; and (iii) crime detection, prevention, investigation and prosecution.	Processing is necessary for the performance of your contract with us and for the purposes of our legitimate interests in complying with legal obligations to which we are subject.
	In connection with legal proceedings, such as responding to a subpoena.	Processing is necessary for the purposes of our legitimate interests in complying with legal obligations to which we are subject.
	To carry out statistical analysis and market research.	Processing is necessary for the purposes of our legitimate interests in analyzing and researching the market.
	To provide tailored experiences and advertisements about our products and services to you.	Processing is necessary for the purposes of our legitimate interests in providing you with tailored advertising and experiences and in promoting our products

		and services.
	To update and maintain our records.	Processing is necessary for the performance of your contract with us and for the purposes of our legitimate interests in complying with a legal obligation to which we are subject and for the purposes of our legitimate interests in maintaining accurate records.
Information about how you use our website.	To deliver relevant website content to you and measure or understand the effectiveness of the content we deliver to you.	Processing is necessary for the purposes of our legitimate interests in studying how our clients use our products/services, to develop them, grow our business and inform our marketing strategy.
	To use data analytics to improve our website, products/services, marketing, client relationships and experiences.	Processing is necessary for the purposes of our legitimate interests to define types of clients for our products/services, to keep our website updated and relevant, to develop our business and to inform our marketing strategy.
Communications between you and the Fund, such as e-mail, telephone, social media or written correspondence.	Communications between the Fund and its investors are retained per regulatory requirements.	Processing is necessary for complying with legal obligations
	To understand the needs of our clients.	Processing is necessary for the purposes of our legitimate interest in understanding the needs of our investors.

We also may collect, use and share aggregated data such as statistical or demographic data for any purpose. Aggregated data may be derived from your personal data but is not considered personal data itself as it can no longer identify you. For example, we may aggregate your investment data to calculate the geographic distribution of our investors. However, if we combine or connect aggregated data with your personal data so that it can identify you, we treat the combined data as personal data which will be used in accordance with this Privacy Notice.

Please note that we may process your personal data without your knowledge or consent, in compliance with the above rules, if we are required by law to do so or if we reasonably believe that it is necessary to protect our rights and/or to comply with judicial or regulatory proceedings, a court order or other legal process.

### **What if you do not provide the personal data we request?**

If you do not provide us with certain personal data when requested, we will not be able to perform all or part of the contract we have entered into with you, or we may be prevented from complying with our legal obligations.

### **Change of purpose**

We will only use your personal data for the purposes for which we collected it (as identified above in the 'What we use this personal data for' column), unless we reasonably consider that we need to use it for another reason which is compatible with the original purpose for which you provided it to us. If we need to use your personal data for a purpose that is unrelated to the original purpose for which you provided it to us, we will notify you and we will explain the legal basis which allows us to do so.

### **How do we collect your personal data?**

You may provide personal information to us when communicating or transacting with us in writing, electronically, or by phone. For instance, information may come from applications, requests for forms or literature, and your transactions and account positions with us.

We may collect personal data about you:

- When you submit an application to invest in a sub-fund of the Company
- When you request literature from us
- When you visit our website or social media page
- When you call, e-mail, or otherwise communicate with the Fund

We may also automatically collect certain data when you interact with our website such as technical data about your equipment, browsing actions and patterns. We collect this personal data by using cookies, server logs and other similar technologies. Please see our cookie policy at <http://www.granahan.com/ucits> for further details.

In addition, we may receive personal data about you from third parties and public sources, such as:

- Companies contracted by us to provide services to you or process account transactions requested by you, such as the transfer agent of the Fund or companies that mail account-related materials to you.
- Companies contracted by us to offer our products and services to you, such as your brokerage firm or our distributor.
- If you have an investment account with us, the depository of your account may provide us with information about you or your account.
- Publicly available sources such as Companies Registration Office.

### **With whom will we share your personal data?**

We may share your personal data with third parties where this is required by law, where it is necessary to perform our contract with you, or where we have another legitimate interest in doing so.

We will need to share your personal data with:

- Our service providers, including our transfer agent and administrator, our depository, our investment managers, our distributors, our auditors, our lawyers, our IT service providers and companies engaged to mail account-related materials.

We may share your personal data with other entities in our group to service your accounts, in the context of a business reorganisation or group restructuring exercise, for system maintenance support and for hosting of data.

We may share your personal data in the context of the possible sale or restructuring of the business. We may also need to share your personal data with a regulator or to otherwise comply with applicable law or judicial process. We may disclose your personal data if we are required by law to do so or if we reasonably believe that disclosure is necessary to protect our rights and/or to comply with judicial or regulatory proceedings, a court order or other legal process.

### **Processing of your personal data in the U.S.**



The personal data we collect about you may be transferred to the investment manager of the Company, Granahan Investment Management, Inc. a U.S. organization (the "**Investment Manager**"). The Investment Manager has put in place physical, electronic and procedural safeguards that are reasonably designed to protect your personal data from unauthorized access and use in order to ensure that your personal data is treated in a manner that is consistent with and which respects the EU laws on data protection. If you require further information about the transfer of your personal data to the U.S., you can request it from [info@granahan.com](mailto:info@granahan.com).

#### **How long will we retain your personal data?**

We will only retain your personal information for as long as necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, regulatory, accounting or reporting requirements.

To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements. In certain circumstances, personal data may be retained for longer than is specifically required under the GDPR.

Details of retention periods for different aspects of your personal data are available in our data protection policy which you can request from us.

In some circumstances we may anonymise your personal data so that it can no longer be associated with you, in which case it is no longer personal data.

Once we no longer require your personal data for the purposes we collected it for, we will securely destroy your personal data in accordance with applicable laws and regulations.

#### **Accuracy of personal data**

It is important that the personal data we hold about you is accurate and current. Please let us know if your personal data changes during your relationship with us.

#### **Your rights in relation to your personal data**

You have rights as an individual which you can exercise in relation to the information we hold about you under certain circumstances. These rights are to:

- Request **access** to your personal data (commonly known as a "data subject access request") and request certain information in relation to its processing;
- Request **rectification** of your personal data;
- Request the **erasure** of your personal data;
- Request the **restriction** of processing of your personal data;
- **Object** to the processing of your personal data; and
- Request the **transfer** of your personal data to another party.

If you want to exercise one of these rights please contact us at [info@granahan.com](mailto:info@granahan.com) with the details of your request.

You also have the right to make a complaint at any time to Irish Data Protection Commissioner. We would, however, appreciate the opportunity to deal with your concerns prior to any approach to the supervisory authority so please do contact us in the first instance.

While we strive to protect all information we receive from you, we cannot guarantee the security of any information you transmit to us.

#### **Fees**

You will not usually have to pay a fee to access your personal data (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is manifestly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

#### **What we may need from you**

We may need to request specific information from you to help us confirm your identity and ensure your right to access the information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal data is not disclosed to any person who has no right to receive it. For corporate applicants, we may need to request additional documentation during the account opening process.

#### **Your right to withdraw your consent**

In the limited circumstances where you may have provided your consent to the collection, processing and transfer of your personal data for a specific purpose, you have the right to withdraw your consent for that specific processing at any time. To withdraw your consent, please contact ***info@granahan.com***. Once we have received notification that you have withdrawn your consent, we will no longer process your information for the purpose(s) you originally agreed to unless we now have an alternative legal basis for doing so.

#### **Changes to this privacy notice**

We reserve the right to update this privacy notice at any time, and we will make an updated copy of such privacy notice available on our website and notify you when we make any substantial updates. We may also notify you in other ways from time to time about the processing of your personal data.

#### **Further information**

This Privacy Notice was written with brevity and clarity in mind and is not an exhaustive account of all aspects of our collection and use of personal data. If you require any further information, please do not hesitate to contact ***info@granahan.com***.

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