

# TRIPLE R OFC

## SUBSCRIPTION APPLICATION FORM

To: Avia Fund Services Limited  
Unit A, Level 9, Fortis Tower  
77-79 Gloucester Road  
Wanchai, Hong Kong  
Attention: Fund Administration Team  
Email: [tripler@aviafunds.com.hk](mailto:tripler@aviafunds.com.hk)  
(the “Administrator”)

**This Subscription Application Form is issued as part of the Private Placement Memorandum dated 26 September 2024 (the “PPM”) (as each may be modified, supplemented or amended from time to time) of TRIPLE R OFC (the “Company”) issued for the Class of Participating Shares in which the investor is now subscribing. Unless otherwise specified, capitalised terms used herein shall have the same meaning ascribed thereto in the PPM.**

**Save as expressly stated in the PPM, no action has been taken to permit the distribution of the PPM (including any appendix) in any jurisdiction where any action would be required for such purpose. In particular, no registration statement has been filed with the United States Securities and Exchange Commission or any US state securities authority with respect to this offer of Participating Shares. Hence, the Participating Shares are not being offered in the United States of America, nor may they be directly or indirectly offered or sold in the United States of America or in its territories or possessions or areas subject to its jurisdiction or to or for the benefit of nationals, citizens or residents thereof or persons who are normally resident therein (including the estate of such person and corporations or partnerships created or organised therein) (“United States Persons”).**

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I/We, the undersigned subscriber(s), hereby apply to subscribe for Participating Shares in the Class for the fund portfolio (the “Fund”) as stated below, upon the terms of the PPM and the appendix (if any), the Instrument of Incorporation of the Company and this Subscription Application Form (collectively referred to as the “Contract Documents”) as follows:

Amount to be Invested\*: USD \_\_\_\_\_  
(exclusive of Subscription Fee) (“Investment Amount”)

Class of Participating Shares:

Par value per Participating Share:

***\* Minimum initial subscription amount (exclusive of Subscription Charge, if any) is as follows***

Amount to be Invested\*: USD 50,000.00  
(exclusive of Subscription Charge, if any)

***\* Minimum subsequent subscription amount (exclusive of Subscription Charge, if any) is as follows***

Amount to be Invested\*: USD 50,000.00  
(exclusive of Subscription Charge, if any)

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## REPRESENTATIONS AND WARRANTIES OF SUBSCRIBER

I/We, the undersigned subscriber(s) (the “Subscriber”), hereby make the following representations, warranties and agreements to and for the benefit of the Company, the Manager and the Administrator:

- (1) By signing this Subscription Application Form, I/we agree to be bound by the terms of the Contract Documents;
- (2) I/We expressly warrant that: (a) I/we have received and have carefully read a copy of the PPM (including the appendix, if any) and fully understand the information herein; (b) I/we have the knowledge, expertise and experience in financial matters to evaluate the risks and merits of the investment. (c) I/We am/are capable of bearing the risk of loss of my/our entire investment in the Fund and am/are making this application solely on the terms and provisions set forth in the Contract Documents and not in reliance on any representations of any kind or nature except as specifically set forth in the Contract Documents;
- (3) *(Please tick either of the following where applicable to the subscriber)*
  - I/We am/are not investing in the Participating Shares on behalf of our customers.
  - We are investing in the Participating Shares on behalf of our customers and we confirm:
    - (a) that we have conducted customer due diligence (“CDD”) measures on each customer on whose behalf we are investing in Participating Shares;
    - (b) that we have obtained, recorded and retained evidence of their identities, including for each customer the full name, date of birth, nationality, and unique identity number derived from originally sighted or certified copy of passport or other official photographic identity document; and one piece of proof of residential address being an original or certified copy of a bank statement, utility bill, tax assessment notice or credit card statement (“DD Documents”);
    - (c) that in obtaining the DD Documents we have either inspected original documents or we have obtained photocopies that have been certified as true copies by a reliable official manner;
    - (d) that these CDD measures comply with the FATF recommendations and guidelines as well as the relevant Acts, regulations and guidelines in Hong Kong and Cayman Islands for the prevention of money laundering and financing of terrorism;
    - (e) that we are satisfied as to the source of funds being used to subscribe for the Participating Shares in the Company;
    - (f) that we will without delay supply to the Company or the Manager upon request a certified copy of any of the DD Documents we have obtained containing or relating to the aforesaid CDD measures; and
    - (g) that we will retain the DD Documents for a period of at least 7 years following the completion or termination of the business relationship with the Customer;
- (4) I/We declare that I/we am/are of full legal age and capacity.
- (5) I/We am/are not a United States Person and am/are not disqualified from investing in the Participating Shares under any of the disqualifications set out in the PPM and/or appendix, if any, and that I/we am/are an Eligible Investor;
- (6) (If the subscriber is not a natural person) We are duly organised, validly existing, and in good standing under the laws of the jurisdiction in which it is organised and have the power and authority and legal capacity to enter into, and perform our obligations under this Subscription

Application Form. The person signing this Subscription Application Form has all requisite authority to sign such documents on our behalf;

- (7) All actions required to be taken, (including, without limitation, the obtaining of any necessary consents or licence or the making of any filing or registration) in order to enable me/us lawfully to enter into, exercise our rights and perform and comply with my/our obligations under this Subscription Application Form have been taken;
- (8) My/Our entry into, exercise of my/our rights and/or performance of or compliance with our obligations under this Subscription Application Form hereunder do not and will not violate, or exceed any power or restriction granted or imposed by:-
  - (a) any law, regulation, authorisation, directive or order (whether or not having the force of law) to which I/we are subject; or
  - (b) our constitutive documents (where the subscriber is not a natural person);
- (9) Our business and the transactions contemplated hereunder (including all investments undertaken, have been and will be carried on in accordance with all applicable laws, regulations and bye-laws;
- (10) I/We are not at present directly or indirectly engaged in any legal action, proceeding (other than as plaintiff in the collection of debts arising in the ordinary course of its business) or being prosecuted for any criminal offence and are not at present subject to any investigation or enquiries by, or on behalf of, any governmental or other public body;
- (11) I/We acknowledge that the Directors of the Company have full and sole discretion to accept or reject any subscription for all or any part of the subscribed Participating Shares. I/We agree that the agreements and representations herein set forth will become effective and binding upon my/our, heirs, legal representatives, successors, and assigns upon the acceptance of my/our subscription by the Company;
- (12) I/We agree that the Manager has the discretion to make investments and divestments in accordance with the investment objectives, policies and restrictions set out in the PPM and/or appendix, if any and to amend or modify the same from time to time without my/our consent;
- (13) I/We will provide to the Company, the Manager or the Administrator any additional documentation that it or they may require, in accordance with their current procedures for the prevention of money laundering and the financing of terrorism, in order to verify my/our identity or that of our customers on whose behalf we invest in shares. I/We acknowledge that any delay by me/us in providing such documentation may result in delayed processing of my/our application for subscriptions and redemptions and/or delayed payment of any dividends to me/us or processing of transfer requests in respect of Participating Shares on my/our behalf. I/We hold the Company, the Manager and the Administrator harmless and indemnify them 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 me/us. I/We also warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise or to enable such funds to be used for the financing of terrorism;
- (14) I/We shall not transfer, dispose of, charge, mortgage or otherwise encumber my/our Participating Shares or any interest therein without the prior written consent of the Directors of the Company;

- (15) I/We shall indemnify and keep indemnified the Company, the Manager, the Administrator and the Custodian against any losses, liabilities, costs, claims, actions, demands or expenses (including, but not limited to, all costs, legal fees, charges and expenses paid or incurred in disputing or defending any of the foregoing) which it may incur or which may be made against the Company, the Manager, the Administrator and the Custodian as a result of or in connection with a breach by me/us of the terms of this Subscription Application Form;
- (16) I/We acknowledge and agree that none of the Company, the Manager, the Administrator or the Custodian (if any) will be liable to me/us or any other Shareholder for any loss which arises directly or indirectly from circumstances beyond their reasonable control, including but not limited to any technical difficulties such as telecommunications failures or disruptions; non-availability of the internet; declared or imminent war; revolt; civil unrest; catastrophes of nature; statutory provisions; measures taken by authorities; strikes; lock-outs; boycotts; or blockades affecting any of the Principal Market(s), the Company, the Manager or any of the Company's service providers.
- (17) I/We acknowledge and agree that where this Subscription Application Form is sent by facsimile or by email to the Administrator, I/we must also send the original signed application to the address specified above. I/We acknowledge and agree that neither the Company, the Manager nor the Administrator accepts any responsibility for any loss caused as a result of non-receipt or illegibility of any Subscription Application Form, redemption notice, or any other document, notice or correspondence sent by facsimile or for any loss caused in respect of any action taken as a consequence of such facsimile instructions believed in good faith to have originated from our properly authorised persons. I/We undertake to notify the Administrator as soon as practical if there is any change in the information provided by me/us in the Subscription Application Form.
- (18) I/We hereby agree that the Company, the Manager, and the Administrator, or any other party on behalf of the Company, may disclose to each other, to any other service provider to the Company or to any regulatory body in any applicable jurisdiction, copies of this Subscription Application Form and any information concerning such Shareholder and his associates, provided by the Shareholder to the Company, the Manager or the Administrator and any such disclosure shall not be treated as a breach of any restriction upon the disclosure of information imposed on such person by law or otherwise.
- (19) I/We hereby agree that the Company, the Manager, and the Administrator, or any other party on behalf of the Company, shall be entitled to, and shall, supply all and any information regarding the Company, information disclosed by me/us in this Subscription Application Form and my/our investment in the Company to each other, their delegates and affiliates, or other service provider appointed by the Company. Further, I/we acknowledge and accept that the Company, the Administrator, and the Manager may be required to and shall be entitled to reveal any information regarding the Company and my/our investment in the Company, including details of my/our identity and information disclosed by me/us in this Subscription Application Form to their regulators and/or any other government agency within their respective jurisdictions, which the Company, the Administrator or the Manager shall, in their sole discretion, consider appropriate.
- (20) I/We acknowledge and agree that no guarantee or representation is made that the investment programme of the Company and the Fund will be successful and that the Company will achieve its investment objective, and accordingly, that I/we may experience a partial or total loss of subscription proceeds. I/We acknowledge and agree that none of the Company, the Manager and the Administrator will be liable to me/us or any other Shareholder for such loss or for any loss suffered by the Company or if the investment objective of the Company is not achieved.

- (21) I/We have received, carefully read and understood the PPM and the appendix, if any outlining, including the sections of the PPM and the appendix, if any outlining, among other things, the organisation and investment objectives and policies of, and the risks and expenses of an investment in the Company. I/We acknowledge that I/we have made an independent decision to invest in the Company and that, in making my/our decision to subscribe for the Participating Shares, I/we have relied solely upon the Contract Documents and independent investigations made by me/us. I am/We are not relying on the Company, the Company's Board of Directors, the Manager or the Administrator, or any other person or entity with respect to the legal, tax and other economic considerations involved in this investment other than my/our own advisers.
- (22) I/We have consulted appropriate professional adviser to the extent I/we deem necessary concerning the propriety and appropriateness of making an investment in the Company. I am/We are fully informed as to the legal, tax and regulatory requirements within my/our own country (or countries) and any other relevant country (or countries) regarding the investment in the Company.
- (23) I/We have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Company and am/are aware of the risks inherent in investing in the Company, and can bear the risk of loss of my/our entire investment in the Company. I/We can afford to hold the investment for an indefinite period of time.
- (24) I/We understand that: (a) no governmental agency has passed upon the Participating Shares or made any findings or determination as to the fairness of this investment; and (b) the representations, warranties, agreements, undertakings and acknowledgments made by my/us in this Subscription Application Form will be relied upon by the Company, the Board, the Administrator and the Manager, in determining my/our suitability as a subscriber for the Participating Shares and the Company's compliance with various securities laws, and shall survive my/our becoming a Shareholder of the Company.
- (25) I/We acknowledge that I/we will receive or have access to confidential proprietary information concerning the Company, including, without limitation, portfolio positions, valuations, information regarding potential investments, financial information, trade secrets and the like (collectively, "Confidential Information"), which is proprietary in nature and non-public. I/We agree that I/we shall not disclose or cause to be disclosed any Confidential Information to any person or use any Confidential Information for my/our own purposes or my/our own account, except in connection with my/our investment in the Company and except as otherwise required by any regulatory authority, law or regulation, or by legal process. Furthermore, I/we have not reproduced, duplicated or delivered the PPM, appendix (if any) or this Subscription Application Form for or to any other person, except my/our professional advisers or as instructed or authorised by the Company.
- (26) I/We hereby authorise the Company and/or its authorised officers and agents with full power and authority in my/our name to complete, execute (as a deed or otherwise), sign and deliver all instruments which the Company deems necessary to affect my/our admission as a shareholder of the Company or to give effect to the terms of this Subscription Application Form, the Memorandum, the Articles, the PPM or appendix (if any).
- (27) (a) For the purpose of this clause, "FATCA/CRS" means:
- (i) sections 1471 to 1474 of the United States Internal Revenue Code of 1986, the Standard for Automatic Exchange of Financial Account Information developed by the Organisation for Economic Co-operation and Development (each as amended from time to time), and any associated legislation, regulations or guidance, or similar legislation, regulations or guidance enacted in any jurisdiction which seeks to

implement similar tax reporting and withholding tax regimes and common reporting standards;

- (ii) any intergovernmental agreement, common reporting standard, treaty, regulation, guidance or any other agreement between the Cayman Islands (or any Cayman Islands government body) and the United States of America or any other jurisdiction (including any government bodies in such jurisdiction), entered into in order to comply with, facilitate, supplement or implement the legislation, regulations or guidance described in paragraph (i) above (including without limitation (a) the Agreement between the Cayman Islands Government and the Government of the United States of America to improve tax compliance and to implement the United States of America Foreign Account Tax Compliance Act signed on 29 November 2013; and (b) the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information signed by the Cayman Islands Government on 29 October 2014, each as amended from time to time); and
- (iii) any legislation, regulations or guidance in the Cayman Islands giving effect to the matters outlined in paragraphs (i) and (ii) above including without limitation the Tax Information Authority Law 2017 (and as may be further amended from time to time), the Tax Information Authority (International Tax Compliance) (United States of America) Regulations (2018 Revision and as may be further amended from time to time), the Tax Information Authority (International Tax Compliance) (Common Reporting Standard) Regulations (2018 Revision and as may be further amended from time to time), and the Guidance Notes on (i) the International Tax Compliance Requirements of the Intergovernmental Agreement between the Cayman Islands and the United States of America, or (ii) the Common Reporting Standard for Automatic Exchange of Financial Account Information in Tax Matters, or other guidance promulgated thereunder.

“FATCA/CRS Liabilities” means any withholding(s) (including without limitation U.S. withholding tax), costs, debts, expenses, penalties, obligations, losses or liabilities (including without limitation all costs, legal fees, professional fees and other costs) incurred by any Relevant Person for or arising out of or in connection with FATCA/CRS.

- (b) In order to comply with FATCA/CRS, the Fund, the Manager, the Administrator or any agent, delegate, employee, director, officer or affiliate of any of the foregoing persons (each, a “Relevant Person”) shall be entitled to release and to disclose to the Cayman Islands Government (and any department, ministry, agency and representative thereof, including without limitation the Cayman Islands Tax Information Authority) or any other state or governmental department or taxation or other authority (each, a “Relevant Authority”) in relation to FATCA/CRS any information in its or its agents’ or delegates’ possession regarding a Subscriber (which for the purpose of this clause shall include a Shareholder and a person that has ceased to be a Shareholder) including without limitation financial information, information regarding the Subscriber’s investment in the Fund and any information relating to any shareholders, principals, partners, beneficial owners (direct or indirect) or controlling persons (direct or indirect) of such Subscriber.
- (c) By subscribing for Participating Shares and becoming a Shareholder, the Subscriber acknowledges and agrees that:
  - (i) any Relevant Person may disclose the identity of, and information relating to, the Subscriber (including without limitation any of the information specified in (b) above) to any Relevant Authority in order to comply with FATCA/CRS and or avoid any FATCA/CRS Liabilities;

- (ii) the Subscriber shall take any action and provide any information and documentation that any Relevant Person requires for the Fund to (A) enter into, maintain or otherwise comply with FATCA/CRS or (B) comply with any due diligence, reporting, withholding, or other requirements under FATCA/CRS;
  - (iii) the Fund may exercise all available rights and remedies to ensure that all FATCA/CRS Liabilities are borne economically by the relevant Subscriber, the status, action or inaction of which results or may result in such withholding or noncompliance (in each case directly or indirectly, including by virtue of the status, action or inaction of any person related or connected to such Subscriber, including without limitation the Subscriber's direct or indirect shareholders, principals, partners, beneficial owners (direct or indirect) or controlling persons (direct or indirect); and
  - (iv) the Subscriber shall promptly notify the Fund if there is any change of circumstances that renders the information furnished under this Subscription Application Form or otherwise provided to any Relevant Person in respect of FATCA/CRS incorrect.
- (d) The Subscriber acknowledges and agrees that if (i) it does not provide the requested information or documentation or has not itself complied with the applicable requirements of FATCA/CRS, whether or not that actually leads to compliance failures by the Fund, or (ii) the Board in its sole discretion determines that there is a risk of FATCA/CRS Liabilities, the Board reserves the right to take any action and pursue all remedies at its disposal (including without limitation the immediate compulsory redemption or withdrawal of the Subscriber from the Fund for an amount equal to the Net Asset Value of the Subscriber's Participating Shares, the compulsory transfer, re-designation or conversion of the Subscriber's Participating Shares, the allocation of the relevant FATCA/CRS Liabilities to the Subscriber and the deduction of such allocations from any account of, or distribution or other payment due to, the Subscriber).
- (e) The Subscriber shall indemnify each Relevant Person for any FATCA/CRS Liabilities arising out of any failure on the part of the Subscriber (directly or indirectly, including by virtue of the status, action or inaction of any person related or connected to such Subscriber, including without limitation direct or indirect shareholders, principals, partners, beneficial owners (direct or indirect) or controlling persons (director or indirect) of such Subscriber) to comply in a timely manner with FATCA/CRS and its obligations under this clause, such indemnity to be the fullest extent permitted by applicable law. The indemnity obligation of the Subscriber will survive the closing date and shall continue (i) where the Subscriber is a Shareholder and where the Shareholder has redeemed but has not received the proceeds of redemption whether or not the Redemption Day has passed, and (ii) where the Subscriber has redeemed and received the proceeds of redemption.
- (f) For the purposes of FATCA/CRS, the Subscriber shall be required to self-certify and complete the necessary self-certification forms and or provide such other documents as may be required from time to time by any Relevant Person.
- (g) To the extent the Subscriber is affected by any action or remedy pursued by or on behalf of the Fund in order to comply with FATCA/CRS, it shall not have any claim against any Relevant Person or any other Subscriber or Shareholder or any agent, delegate, employee or director, officer or affiliate of any of the foregoing persons for any form of damages or liability as a result of such action or remedy and the Subscriber shall be deemed to have consented to the taking of such action or the exercise of such remedy and to have waived any and all rights or claims in respect thereof, to the fullest extent permitted by applicable law.



- (h) The Subscriber is deemed to have authorised any Director or any person authorised by the Directors to do all such acts and execute (under hand or as a deed) all such documents on such Subscriber's and Shareholder's behalf to give effect to or in connection with any of the matters set out in this clause.
- (i) This clause shall survive termination of this Subscription Application Form and for the avoidance of doubt shall survive where the Subscriber has ceased to be a Shareholder of the Fund.

(28) Rights Under The Contracts (Rights Of Third Parties) Law

- (a) In accordance with section 4 of The Contracts (Rights of Third Parties) Law (as revised from time to time), the indemnified parties specified in clauses 13, 15 and 27(e) of this Subscription Application Form (save the Fund which is already a party to this Subscription Application Form) shall be entitled to enforce all of the rights and benefits under clauses 13, 15 and 27(e) of this Subscription Application Form at all times as if they were a party to this Subscription Application Form.
- (b) The indemnified parties in clauses 13, 15 and 27(e) of this Subscription Application Form (save the Fund which is already a party to this Subscription Application Form) may not bring any action to enforce their rights under this Subscription Application Form without the prior written consent of the Fund, which may be withheld at the sole discretion of the Fund.
- (c) The consent of the indemnified parties specified in clauses 13, 15 and 27(e) of the Subscription Application Form (save the Fund which is already a party to this Subscription Application Form) is not required for any rescission or variation of this Subscription Application Form agreed to by the Fund and the Subscriber, or any termination of this Subscription Application Form by the Fund and the Subscriber.
- (d) The indemnified parties specified in clauses 13, 15 and 27(e) of the Subscription Application Form (save the Fund which is already a party to this Subscription Application Form) may not assign their rights, in whole or in part, under this Subscription Application Form without the prior written consent of the Fund.

- (29) Notification of Changes: I/We agree to promptly notify the Company, the Manager and the Administrator if there is any change with respect to any of the information or representations made herein, and to provide such further information as the Company, the Manager and the Administrator may reasonably require.

*The rest of the page is intentionally left blank.*

**Payment:**

I/We have transferred US\$[ ] being payment in full of the subscription price for the Participating Shares subscribed herein (and any Subscription Charge) to:

**Pay to :**

For USD Payment Instructions via RTGS/CHATS within Hong Kong:

Beneficiary Bank : DBS Bank Ltd, Hong Kong Branch  
Beneficiary Bank : Floor 11, The Center, 99 Queen's Road Central, Central, Hong Kong  
Address  
Swift Code : DBSSHKHH  
Bank Code : 185  
  
Account name : TRIPLE R OFC  
Reference : Subscription monies from \_\_\_\_\_ [Name of Subscriber]  
  
Account number : 20003308588  
  
Subscription Day : \_\_\_\_\_  
Day / Month / Year

(A copy of the remittance advice must be attached to this Subscription Application Form for the subscription to be processed.)

REGISTRATION DETAILS

<b>SINGLE APPLICANT</b>	<b>JOINT APPLICANTS</b>
Name: (in full)	Name: (in full)
Residential Address:  (No P.O. Boxes accepted for registration purposes)	Residential Address:  (Only the first-named applicant's address will be used for registration purposes)
Occupation:	Occupation:
I.D./Passport No.:	I.D./Passport No.:
Date of Birth:	Date of Birth:
Place of Birth:	Place of Birth:
Nationality:	Nationality:
Telephone No.:	Telephone No.:
Fax No.:	Fax No.:
Email Address:	Email Address:
Source of Subscription Funds:	Source of Subscription Funds:

<b>COMPANIES / PARTNERSHIPS</b>	<b>TRUSTS</b>
Name of Company/Partnership:	Name of Trustee and Trust:
Registered Address:  (No P.O. Box is acceptable)	Registered Address:  (No P.O. Box is acceptable)
Mailing Address:	Mailing Address:
Business Address:	Business Address:
Place of Incorporation/Establishment:	Place of Incorporation/Establishment:
Business Registration No and Company No	Business Registration No and Company No
Date of incorporation:	Date of incorporation:

Telephone No.:	Telephone No.:
Fax No.:	Fax No.:
E-mail Address:	E-mail Address:
Principal Contact Person:	Principal Contact Person:
Principal Business Activities:	Principal Business Activities:
Source of Subscription Funds:	Source of Subscription Funds:
Nature of Business:	Nature of Business:

\*All notices and correspondences will be sent via mail.

**Bank account to which the redemption monies and dividends (if any) will be transferred: -**

Bank and branch	:	
SWIFT Code	:	
Name of Account	:	
Account Number	:	
Correspondent Bank	:	
Correspondent Bank SWIFT Code	:	
Correspondent Bank Account No.	:	

*(Note: No third party payments will be allowed.)*

**Authorization for joint application**

We hereby authorise the Company, the Manager and the Administrator (if any) to act on instructions (except change of wiring instruction for receiving redemption payment) given by:

both of the joint holders\*

either one of the holders\*

*(\*please delete as appropriate)*

Date:

\_\_\_\_\_  
Signature of first joint subscriber

\_\_\_\_\_  
Signature of second joint subscriber

**EXECUTION and SIGNATURES**

ENTITIES
APPLICANT
Name of entity: (Please print)
Signature:
Name of Signatory: (Please print)
Position/Office of Signatory: (Please print)

## Individual Self-Certification Form

### *Instructions for completion*

Please note that where there are joint subscribers each subscriber is required to complete a separate self-certification form.

### Section 1: Subscriber Identification

Subscriber's Name	Date of Birth (dd/mm/yyyy)	Place and Country of Birth
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#### Permanent Residence Address:

Number and Street	City/Town
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State/Province/Country	Post Code	Country
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#### Mailing Address (if different from above):

Number and Street	City/Town
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State/Province/Country	Post Code	Country
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### Section 2: Declaration of US Citizenship or US Residence for Tax purposes

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

(a)  I confirm that **I am** a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is as follows:

\_\_\_\_\_

(b)  I confirm that was born in the US (or a US territory) but am no longer a US citizen as I have voluntarily surrendered my citizenship as evidenced by the attached documents.

(c)  I confirm that that **I am not** a US citizen or resident in the US for tax purposes.

**Section 3: Declaration of Tax Residency (other than US)** *(Complete section 3 if you have non-US tax residencies.)*

I confirm that I am, for tax purposes, resident in the following countries *(indicate the tax reference number type and number applicable in each country)*.

<b>Country/Countries of tax residency</b>	<b>Tax reference number type</b>	<b>Tax reference number</b>

Please indicate “not applicable” if jurisdiction does not issue or you are unable to procure a tax reference number or functional equivalent. If applicable, please specify the reason for non-availability of a tax reference number:

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**Section 4: 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 undertake to advise the Company 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 inaccurate or incomplete. I hereby consent to the Company sharing this information with the relevant tax information authorities where legally obliged to do so.

I acknowledge that it is an offence to make a self-certification that is false in a material particular.

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Signature

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Date (dd/mm/yyyy)

## Entity Self-Certification Form

### *Instructions for completion*

*Please complete the sections below as directed and provide any additional information that is required. Please note that the Company may be obliged to share this information with relevant tax authorities. If any of the information below relevant to your tax residence changes in the future, please ensure you advise the Company of these changes promptly. If you have any questions about how to complete this form, please contact your tax advisor.*

### **Section 1: Subscriber Identification**

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Legal Name of Entity/Branch

---

Country of incorporation /  
Organization

#### **Current Registered Address:**

---

Number and Street

---

City/Town

---

State/Province/Country

---

Post Code

---

Country

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

---

Number and Street

---

City/Town

---

State/Province/Country

---

Post Code

---

Country

### **Section 2: Declaration of all tax residencies**

Please indicate the entity's place of tax residence (if resident in more than one jurisdiction please detail all jurisdictions and associated tax reference number type and numbers).

For the purposes of the Common Reporting Standard (CRS), all matters in connection with residence are determined in accordance with the CRS and its commentaries.

If an entity has no residence for tax purposes, please indicate the jurisdiction in which its place of effective management is situated. Please indicate not applicable if a jurisdiction does not issue or you are unable to procure a tax reference number or functional equivalent and indicate the reason below.



Jurisdiction(s) of tax residency	Tax reference number type	Tax reference number (e.g. TIN)

If applicable, please specify the reason for non-availability of a tax reference number:

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### Section 3: CRS Classification

Please provide the entity's CRS classification by ticking the corresponding box(es). Note that CRS classification does not necessarily coincide with the classification for US FATCA purposes.

- 3.1  If the entity is a Financial Institution, please tick this box and specify the type of Financial Institution in (a), (b) or (c) below<sup>1</sup>:
- (a)  Reporting Financial Institution under CRS. *(Please note this classification only applies to a Financial Institution in a CRS Participating Jurisdiction. If the entity is a Financial Institution in a Non-Participating Jurisdiction under CRS, proceed to 3.1(c)).*
- (b)  Non-Reporting Financial Institution under CRS. *(Please note this classification only applies to a Financial Institution in a CRS Participating Jurisdiction. If the entity is a Financial Institution in a Non-Participating Jurisdiction under CRS, proceed to 3.1(c)).* Please specify the type of Non-Reporting Financial Institution below:
- Governmental Entity
  - International Organization
  - Central Bank
  - Broad Participation Retirement Fund
  - Narrow Participation Retirement Fund
  - Pension Fund of a Government Entity, International Organization, or Central Bank
  - Exempt Collective Investment Vehicle

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<sup>1</sup> Where the entity is resident in a Participating Jurisdiction, use the terms as defined under the CRS regime in that jurisdiction.

- 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.

Specify the type provided in the domestic law: \_\_\_\_\_

(c)  Financial Institution resident in a Non-Participating Jurisdiction under CRS. *Specify the type of Financial Institution below:*

- (i)  Investment Entity managed by another Financial Institution where a controlling ownership interest is held (directly or indirectly) by a company listed on a stock exchange and subject to disclosure requirements or is a majority owned subsidiary of such a company.
- (ii)  Investment Entity managed by another Financial Institution (other than (i) above).

Note: If you are either:

- (1)  a widely-held, regulated collective investment vehicle (CIV) established as a trust; or
- (2)  a pension fund established as a trust,

you may apply the Controlling Persons test of a legal person as per the Controlling Person definition and where simplified due diligence procedures are permitted to be applied under the applicable AML regime<sup>2</sup> in relation to the Subscriber and its Controlling Persons, no further information is required.

If you have ticked the box for 3.1(c)(ii) and neither of the exemptions under (1) or (2) above applies, please indicate the name of the Controlling Person(s) below.

<b>Full name of any Controlling Person(s)</b> <i>(must not be left blank unless exemption (1) or (2) above applies)</i>

- (iii)  Other Investment Entity (other than (i) or (ii) above); or
- (iv)  Other Financial Institution, including a Depository Institution, Custodial Institution, or Specified Insurance Company.

<sup>2</sup> Please contact the Company to confirm whether simplified due diligence procedures may apply to you as a Subscriber (e.g. by being a regulated pension fund in an approved jurisdiction).

3.2  If the entity is an Active Non-Financial Entity (NFE) please tick this box and specify the type of Active NFE below:

Corporation that is regularly traded or a related entity of a regularly traded corporation.

Name of the stock exchange where traded: \_\_\_\_\_

If the entity is a related entity of a regularly traded corporation, provide the name of the regularly trader corporation:

\_\_\_\_\_

Governmental Entity, International Organization, a Central Bank, or an Entity wholly owned by one or more of the foregoing; or

Other Active Non-Financial Entity.

Indicated qualifying criteria: \_\_\_\_\_

3.3  If the entity is a Passive Non-Financial Entity please tick this box.

If you have ticked this box, please indicate the name of the Controlling Person(s).

<b>Full Name of any Controlling Person(s) (must not be left blank)</b>

### Declaration 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 undertake to advise the Company 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 inaccurate or incomplete. I/We consent to the Company sharing this information with the relevant tax information authorities where legally obliged to do so.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Position/Title

\_\_\_\_\_  
Position/Title

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

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