



EDMOND
DE ROTHSCHILD

MASTER APPLICATION FORM

FUND CONFIRMATION FORM



EDMOND DE ROTHSCHILD, BOLD BUILDERS OF THE FUTURE.



HOW TO USE THIS FUND INTRODUCTION FORM

For subscriptions into **a new Fund Range**, please provide the *Fund Confirmation Form (Part 1)*

Part 1: Fund Confirmation Form

In order to invest into a fund for the first time, please complete:

- ▶ Name of the fund
- ▶ KIID declaration
- ▶ PRIIPs declaration
- ▶ SIF, RAIF or SICAR declaration
- ▶ General Data Protection Regulation (697/2016/EU) (the “GDPR”) declaration
- ▶ Institutional investor declaration (optional)



PART 1: FUND CONFIRMATION FORM

Please complete and send the electronic copies to FDS-Account-Openings@caceis.com (for account opening purposes) or to FDS-Account-Maintenance@caceis.com (for due diligence purposes).

After analysis of the documents, you will be contacted by CACEIS Bank Luxembourg Branch – KYC Team. The original documents must be sent to a dedicated mail address which will be communicated to you once the analysis and acceptance of the documentation received in copy has been confirmed. CACEIS Bank Luxembourg Branch acts as the processing agent of Edmond de Rothschild Asset Management (Luxembourg).

Contact details for individual investors

Edmond de Rothschild Asset Management (Luxembourg): CSM@bpere.eu

4, rue Robert Stumper – L-2557 Luxembourg

Swift: PRIBLULB – Fax: +352 2488 8617

Otherwise, please contact:

CACEIS: Tel +352 4767 5999 / EDRAM-TA@caceis.com

IMPORTANT: Please ensure to complete all fields that are marked with an asterisk (*mandatory field) and fill in the form in BLOCK CAPITALS.

You do not need to fill in this *Fund Introduction Form*, if you want to make an additional investment into a fund in which you already hold positions.

ACCOUNT HOLDER IDENTIFICATION - FOR ALL CURRENT AND FUTURE ACCOUNT DESIGNATIONS

If your registrar account is already opened,
please
provide your registrar account number at
Edmond de Rothschild Asset management (Luxembourg):

If your registrar account is not yet opened, please first provide CACEIS Bank, Luxembourg Branch, with a duly filled in Identification & Verification Form and use this form only when you are provided with your account details.

FUND IDENTIFICATION

Fund legal name (one fund only)

You want to invest into the following Fund:*

DIVIDEND POLICY

☐ Please tick the box if you wish to have dividends reinvested, otherwise dividends will be automatically paid out to your bank account.



KIID DECLARATION

ONLY NECESSARY FOR a subscription in a UCITS fund or any other type of Fund publishing a KIID.

The Key Investor Information Document (“**KIID**”) of the Fund relating to each share class is available on the website of the Fund or of its Management Company (according to the EU Directive 2009/65/EC on undertaking for collective investments, as amended and relating implementing acts) (collectively referred to as the “UCITS Regulation”). The Fund or its Management Company will ensure, in accordance with the UCITS Regulations that such website is constantly updated or otherwise, will provide with alternative solutions to access the KIID.

☐ **By ticking this box, you declare to have read the relevant KIID of the Fund relating to the relevant share class and you agree that any new subscription order made shall be considered as a written confirmation that you have taken knowledge of the relevant up-to-date relevant KIID as published on the website referred above on the date on which the subscription order is completed.**

☐ By ticking this box, you declare that you are Final investors investing in the Fund for your own account.

You hereby acknowledge and agree that any subscription/conversion/transfer order made by you shall be considered as a written confirmation and that you have taken knowledge of the up-to-date relevant KIID as published on the above mentioned website on the date such subscription/order was made.

☐ By ticking this box, you declare that you are Financial intermediaries investing in the Fund for the account of investors, or advising investors to invest in the Fund.

You hereby confirm that you have provided the underlying beneficial owners (“BO”) or potential investors with the relevant up-to-date KIID for any subscription/order made and take full responsibility for any concerns regarding the notification of the KIID to the investors/BO. You provide Edmond de Rothschild Asset Management (Luxembourg) with all the KYC documentation upon request to the extent permitted by laws, and you will inform Edmond de Rothschild Asset Management immediately if we become aware of any introduced investor engaging in activities which lead us to believe that such investor is involved in money laundering, terrorism and financing of terrorism activities.

PRIIPS DECLARATION

This section should be completed if you invest in a fund required to publish a PRIIPs.

The Key Information Document (“**KID**”) of the Fund relating to each share class is provided in a durable medium other than paper or by means of a website of the Fund or of its AIFM (according to the Regulation (EU) no. 1286/2014 of European Parliament and of the Council of 26 November 2014 on key information documents for packaged retail and insurance-based investment products (PRIIPs), the Regulation (EU) 2016/2340 of the European Parliament and of the Council of 14 December 2016 amending Regulation (EU) no. 1286/2014 on key information documents for packaged retail and insurance-based investment products and the Commission Delegated Regulation (EU) 2017/653 of 8 March 2017 Supplementing Regulation (EU) no. 1286/2014 of European Parliament and of the Council on key information documents for packaged retail and insurance-based investment products (PRIIPs) by laying down regulatory technical standards with regard to the presentation, content, review and revision of key information documents and



the conditions for fulfilling the requirement to provide such documents (collectively referred to as the “PRIIPs Regulation”). The Fund, or its AIFM, will ensure, in accordance with the PRIIPs Regulations that such website is constantly updated or otherwise, will provide with alternative solutions to have access to the KID.

***☐ By ticking this box, you declare that you have been given the choice between a KID provided on paper, in a durable medium or by means of a website and that you give your consent to receive the relevant KID in a durable medium other than paper or by means of a website and you agree that your email address will be recorded for the KID purpose.**

***☐ By ticking this box, you declare to have received and have the opportunity to read the relevant KID of the Fund relating to the relevant share class prior to your investment and before reviewing and signing this application and you agree that for any new subscription order you will receive a subsequent order form to be completed and signed and that you will ensure that you will obtain the KID relating to any new subscription.**



INSTITUTIONAL INVESTOR DECLARATION

☐ ***ONLY IF you want to invest into institutional share classes** of the Fund (i.e. restricted to institutional investors) or into a SIF (Specialised Investment Fund) or RAIF (Reserved Alternative Fund) or SICAR (Société Investment Company in Risk Capital), you need to hereby confirm that you are an institutional Investor¹ in the meaning of the Luxembourgish law of 13 February 2007. Please tick the corresponding to your institutional investor category*:

- | | |
|---|--|
| <input type="checkbox"/> A credit institution management relationship | |
| <input type="checkbox"/> Third parties through a credit institution or other PFS with which they are in discretionary | |
| <input type="checkbox"/> Other Professionals of the Financial Sector (PSF) | |
| <input type="checkbox"/> An insurance or reinsurance company | <input type="checkbox"/> An undertaking for collective investment (UCI) |
| <input type="checkbox"/> A social security organisation | <input type="checkbox"/> A holding company or similar whose partners are institutional investors |
| <input type="checkbox"/> A pension fund | <input type="checkbox"/> A local authority investing its own capital |
| <input type="checkbox"/> An industrial and financial group | <input type="checkbox"/> Other structures: |

If you do not fall into any of the above categories, you should confirm the below either subscribing for your own account or on behalf of third party(ies).

SIF, RAIF OR SICAR DECLARATION

Please complete this section if you want to invest into the following Luxembourg domiciled investment funds: a SIF (Specialised Investment Fund), a RAIF (Reserved Alternative Investment Fund) or if you wish to invest into a SICAR (Société Investment Company in Risk Capital):

- ☐ You are a well-informed investor according to the regulation applicable to the SIF, RAIF or SICAR, and
- ☐ You will invest a minimum of EUR 125,000 into the SIF, RAIF or SICAR or
- ☐ You will provide Edmond de Rothschild Asset Management (Luxembourg) with an assessment certificate made by a credit institution, an investment firm or a management company certifying your expertise, your experience and your knowledge in adequately appraising an investment in a SIF, RAIF or SICAR.

¹ The main characteristic of any institutional investor is that its business purpose requires the management of substantial assets. An institutional investor may be an Insurance company, social security institution, credit institution, UCI (Undertaking Collective Investment), local authority, unregulated investment company (e.g. holding company) under certain conditions, commercial company with substantial assets under management, pension fund or other Professionals of the Financial Sector. Credit institutions and other Professionals of the Financial Sector investing in institutional funds in their own name but on behalf of another party on the basis of a discretionary management relationship are also considered institutional investors, even if the third party on behalf of which the investment is undertaken is not itself an institutional investor.



PROFESSIONAL SECRECY DECLARATION

We acknowledge that the Fund, and where applicable the Management Company/AIFM and where applicable their service providers (including the Transfer Agent) will hold and process our personal data in accordance with the applicable data protection regulations. Further information is available in section “Terms and Conditions” of this Application Form.

☐ By checking this box, we confirm that I/we have read and acknowledge the section “Terms and Conditions” of this Application Form and I/we authorise the Fund, and where applicable the Management Company/AIFM, and where applicable their service providers (and in particular the Transfer Agent) to share my/our personal and financial information under the terms and conditions set hereunder in this Application Form.

THIRD-PARTY AND BENEFICIAL OWNER DETAILS

Important: This section is not required if it was already completed in the Account Opening form and it remains unchanged for this fund introduction.

Please confirm if the account holder is acting :

- ☐ on behalf of third party(ies); or
- ☐ on its own behalf and not in favour of a third party.

According to the Luxembourg law dated 13/02/2018 implementing Directive EU 2015/849 an ultimate beneficial owner is the final beneficiary of the investment who owns – directly or indirectly – more than 25% of the investor share capital/voting rights.

The identification details and documentation of the underlying beneficial owner(s) must be provided :

- If the account holder is acting on its own behalf and is a legal entity having one or several natural person(s) holding directly or indirectly 25% or more of the capital/voting rights or having the control over the investor ;

or if

- the account holder is acting on behalf of third parties and is not regulated or is regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is not considered as adequate and effective according to CACEIS country risk assessment ;

or

- upon request, if the account holder is a Nominee regulated in a jurisdiction whose anti-money laundering and combating the financing of terrorism regime (AML/CTF) is considered as adequate and effective according to CACEIS country risk assessment ;

In this case, an AML letter or Representation letter (please consider the template in the following section) confirming the performance of KYC due diligence on underlying investors and/or the beneficial owners will be requested and updated pursuant to on-going due diligence requirements;



Identification of beneficial owners:

The identification details and verification of the identity of the underlying beneficial owner(s) must be provided through a beneficial owner declaration (please refer to our template in appendix) and corroborated by supportive documentation from independent and reliable sources.

Important: In case of indirect ownership, please describe on a dated and signed chart all the intermediate levels of ownership with names and percentages.

If any of the ultimate economic beneficiary(ies) is/are one of the category displayed below, please provide a detailed description :

- ☐ a person holding a legislative, administrative or judicial office, whether appointed or elected
- ☐ a person exercising a public function, including for a public agency or public enterprise
- ☐ an official or agent of a public international organisation
- ☐ a person or company manifestly close to or connected with the above persons

If applicable, please describe:

SOURCE OF FUNDS INVESTED

Please confirm if the account holder is acting:

- ☐ on its own behalf and not in favour of a third party; or
- ☐ on behalf of third party(ies); or

For an Account Holder acting on its own behalf:

You declare that the origin of the funds used for subscription is coming from:
(please tick the right choice):

- ☐ Own capital & reserves
- ☐ Own benefit
- ☐ Customers' investments or policy subscriptions
- ☐ Sale of an entity's asset
- ☐ Other (please describe):

Main country(ies) of origin of the funds invested:

For an Account Holder acting on behalf of third party(ies):

Please indicate the top 5 countries in terms of origin of the underlying investors' base:

Country	Percentage of invested amount
EEA Countr(ies)*	_____%
	_____%



	____.____%
	____.____%
	____.____%

* Please consolidate all EEA countries under a same line "EEA Country(ies)"

EXPECTED INVESTMENT AMOUNTS

By transaction:	<input type="checkbox"/> less than EUR 10 million (or equivalent)	<input type="checkbox"/> between EUR 10–100 millions (or equivalent)	<input type="checkbox"/> over EUR 100 millions (or equivalent)
Frequency:	<input type="checkbox"/> one-off	<input type="checkbox"/> at regular intervals Please specify:	<input type="checkbox"/> irregularly Please specify:

Mandatory documentation

For compliance purposes, the account holder is required to provide CACEIS with KYC documentation as described in the section "Terms and Conditions" below.



PROTECTION OF PERSONAL DATA

The personal data collected in this form is processed by us as:

- **Processor (or sub-processor)** within the meaning of the *Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016, on the protection of natural persons with regard to the processing of personal data and on the free movement of such data* (“**GDPR**”): when we process this personal data (ultimately) on behalf of the Fund. Further information on personal data processing in the context of the investment in the Fund is provided in the Fund’s personal data protection policy/notice; and/or
- **Controller** within the meaning of GDPR: when we process this personal data on our own behalf in the context of our activities. The conditions under which this data is processed by us as controller are detailed in our personal data protection charter which is available in several languages on the website www.edmond-de-rothschild.eu in the “your personal data” section. Further information thereon may also be obtained at the following email address: DPO-eu@edr.com. You are kindly requested to transmit this charter to any relevant natural persons whose personal data could be processed by us as controller, such as (where applicable) your relatives.

REPRESENTATION

You declare and represent to us, Edmond de Rothschild Asset Management (Luxembourg), that:

- You have read and understood the terms of the latest prospectus of the Fund and you confirm that you meet the Fund’s eligibility requirements. This representation applies for this and any subsequent investment by you in the fund.
- The Fund Introduction & Subscription Form has been read and completed properly and all information provided is true and accurate.
- You understand and acknowledge that we compare signatures with specimens held at our offices without having to proceed with a more detailed investigation. You confirm that, with the exception of legally binding regulations, our obligations shall be limited to an obligation of means and we are only liable in the case of gross misconduct.
- We assume no liability for failure to process an order as a result of incomplete or inaccurate information presented by you in this Fund Introduction & Subscription Form.
- You understand and acknowledge that we are not liable for any losses, damages, costs, fees or any other liabilities which may be directly or indirectly caused by the lack of authenticity or validity of the authorisations which refer to you or third parties with the legal capacity to act on your behalf.
- You acknowledge and confirm that we shall not be responsible for any direct or indirect losses, damages, costs, fees or any other liabilities caused in the event of my legal or third parties authorised to act on your behalf, provided that we have not received prior written notice of the fact.
- You acknowledge and confirm that you shall compensate and reimburse us for all complaints, claims, legal action, fees, expenses, damages, losses or other sums paid or responsibilities incurred by us resulting from the execution by us of an instruction on your part.
- You will immediately inform us of any change in the information provided in this Fund Introduction & Subscription Form.
- You are duly authorised to sign this Fund Introduction & Subscription Form.
- You authorise us to share my/our information with our delegates and/or sub-contractor(s) and with any entity in the Edmond de Rothschild group.



- You are aware of the tax obligations applying to you pursuant to your holding of shares/ units in the Fund in which you hereby invest in and you intend to comply with the tax declaration obligations to the competent tax authority as imposed to you in your country of tax residency.
- You are aware that, within the context of your subscription in the Fund, your telephone conversations with Edmond de Rothschild Asset Management (Luxembourg) representatives may be recorded.
- We reserve the right to refuse to process an instruction from any person whose identify and permissions have not been sufficiently established in our opinion.
- You understand and acknowledge that you are aware of your responsibility to comply with all applicable laws and regulations. It is therefore your responsibility to seek any assistance from qualified independent advisors as necessary.
- Any and all disputes resulting from this form are exclusively governed by applicable Luxembourg laws and shall exclusively be referred to the Luxembourg competent court.
- Please note that we, the Fund or the Agent may contact you for additional information if the form is filled out incorrectly or is incomplete.

As authorised signatory(ies) you hereby sign this Identification Form

1st signatory*

Date

Place

Signature

First name

Last name

2nd signatory* *(if a second signatory)*

Date

Place

Signature

First name

Last name

Note: This Fund Confirmation Form is not a subscription form. To subscribe in the selected fund, please complete the Subscription Form or provide your own subscription form.