



INITIAL APPLICATION PACK

Legal Entities

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When completed, kindly sign this form (in paper or via DocuSign) and email to:
transferagency@ccfundservices.com

(for any queries call +356 2568 8688)



The Directors,
AQA UCITS Fund SICAV plc – AQA Sure Fund
c/o Calamatta Cuschieri Fund Services Limited
Ewropa Business Centre
Dun Karm Street
B’Kara
BKR 9034
Malta

Email: transferagency@ccfundservices.com
Tel: +356 2568 8688

A. Name of Subscriber:

Trading Name (if applicable):

Address of Subscriber:

Contact Name:

Tel No:

Email:

B. Name of Subscriber:

Trading Name (if applicable):

Address of Subscriber:

Contact Name:

Tel No:

Email:

C. Please send all correspondence (if different from above) to:

Address:

Contact Name:

Tel No:

Email:

1. I/We hereby irrevocably subscribe for the equivalent number of Investor Shares in:

CLASS A EUR SHARES (MT7000034302)

Currently available for an investment of:

(Amount/Units in figures)

(Amount/Units in words)

in the Company, an investment company established in Malta in accordance with the terms and conditions of the current Offering Memorandum of the Company and this Subscription Agreement.

2. I/We will pay the full Offer Price in cleared funds by not later than 12:00 (CET), three (3) Business Days after the relevant Subscription Day.
3. I/We have read and understand the Offering Memorandum and have read and understood and agree to abide by the Subscribers Undertakings and Warranties specified in the said Memorandum.
4. I/We acknowledge and understand that this subscription may be accepted or rejected in whole or in part in the sole and absolute discretion of the Company.
5. I/We understand that subscriptions or redemptions paid in currencies other than the designated currency of the Sub-Fund will be exchanged for the designated currency and I/we agree that any exchange losses or costs will be for my/our account.
6. I/We hereby undertake to comply with the minimum age requirements, as stipulated in the section 'Undertakings and Warranties' in the Offering Memorandum.
7. I/We hereby apply to purchase the Investor Shares in registered form and I/we do not require a certificate for the same Investor Shares.
8. I/We understand that if the Subscriber is a corporation, an authorised officer(s) of that corporation must sign in compliance with its Charter or Memorandum and Articles of Association and, by signing this Subscription Agreement, the authorised officer(s) hereby confirm and warrant that the corporation is so empowered to invest in the Company and that, if required, the relevant corporate resolution has been passed and executed by the Board of Directors of the corporation.
9. I/We understand and agree that, if I/we do not supply all of the due diligence documentation as required, the Company reserves the right to reject such subscription.
10. If this form, or any other communication, is sent to the Company and/or the Administrator by fax, e-mail or verbally will not be deemed to have been received by the Company or Administrator unless receipt is acknowledged in writing by the Administrator. Exceptions are made where the delivery of the communication has been acknowledged by a signed receipt.
11. By executing this Subscription Application, I/we waive any provision under applicable laws and regulations that would prevent or inhibit the Company's compliance with applicable law as described in this paragraph, including but not limited to by preventing either:
 - Me/Us from providing any requested information or documentation, or
 - The disclosure by the Company and its Administrator of the provided information or documentation to applicable regulatory authorities. In particular, but without limitation, I/we agree to provide any documentation or other information regarding myself, my beneficial owners and controlling persons requested by the Company or Administrator in connection with FATCA & CRS and any guidance, relating thereto and published from time to time, as well as any legislation, rules or practices adopted pursuant to any applicable intergovernmental agreement entered into in connection with the implementation of FATCA & CRS. Finally, should any similar legislation and regulations be issued by any other jurisdictions at any time in the future, I/we agree to the same provisions as outlined above.

1. I/We agree to complete and return, with this application form, the appropriate form(s), as will be provided by the Company, included but not limited to the below list, along with all related documentation to the Fund at the offices of the Administrator:
 - Individual/Entity Self-Certification Form (as applicable);
 - PEP & Source of Wealth Declaration Form; and
 - Risk Profile Questionnaire.

2. I/We hereby indemnify and hold harmless the Company and the Administrator and each of their respective directors, officers and employees from any losses or damages suffered due to incorrect statement or information provided by us in respect of these matters.

3. I/We acknowledge that my/our personal information will be processed by the Company and/or its delegates and/or its service providers and/or duly authorised agents and/or any of their respective related, associated or affiliated companies (including, without limitation, the Administrator and/or the Investment Manager) (each a "Fund Party" and, collectively the "Fund Parties") in accordance with their respective legal obligations, including obligations under the General Data Protection Regulation 2016/679 (the "Data Protection Legislation"). Kindly refer to Offering Memorandum/ Prospectus of the Company for further details in this respect. For the avoidance of doubt, the Company shall be considered to be a data controller in accordance with the Data Protection Legislation and each of the Fund Parties may act on behalf of and to the instruction of the Company as data processors.

4. I/We acknowledge that my/our personal data will be processed for the purposes of:
 - Managing and administering my/our participation in the Sub-Fund (including, without limitation, administering an application for Investor Shares in the Sub-Fund, administering a request for conversion or redemption of Investors Shares in the Sub-Fund; transfer agency; administering the payment of distributions (if any) declared by the Company in respect of the Sub-Fund; maintaining the register of Investor Shareholders; circulating periodic reports, notices of meetings and other circulars relating to the Company/ Sub-Fund);
 - Updating and maintaining records and providing NAV and other calculations;
 - Carrying out statistical analysis, research and disclosure to the Company, its delegates and/or agents;
 - Managing and maintaining our relationship with you and for ongoing customer services;
 - Complying with legal, tax and regulatory obligations;
 - Any legitimate business interests of the Company; and
 - Any other specific purpose to which I/We give specific consent.

5. 16. I/We acknowledge that the processing of my/our personal data may include the disclosure of my/our information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as the auditors, agents and/or delegates of the Company or Fund Parties and other third parties identified in the Offering Memorandum/ Prospectus of the Company or the Offering Supplement of the Sub-Fund, who process the data for anti-money laundering purposes or for compliance with other regulatory requirements.

6. I/We acknowledge that my personal information may be disclosed by the Company or any Fund Party as follows:
 - a. To their affiliates and third party service providers engaged in connection with the oversight, safekeeping, administration, distribution or operation of the Company and Sub-Fund, in order to process the data for the above mentioned purposes;
 - b. To competent authorities (including tax authorities), courts and bodies as required by applicable law or requested by such entities or to affiliates for internal investigations and reporting.

7. I/We hereby acknowledge that the Company and/or a Fund Party may process my/our information, which may include:
 - a. The recording of telephone calls with the Fund Parties for the purpose of confirming data;
 - b. The disclosure of my/our information as outlined above to third parties;
 - c. The disclosure of my/our information where necessary for the Company's legitimate interests, to the parties identified above; or
 - d. The disclosure of my/our information to agents of a Fund Party, including entities situated in countries outside of the European Economic Area (the "EEA") which may not have the same data protection laws as in Malta. In the event of any such data transfers to locations outside of the EEA, the Fund Parties will take reasonable steps so that my/our data is treated securely and in accordance with the Data Protection Legislation.

1. I/We acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. I/We also acknowledge my/our rights to be forgotten (right of erasure of personal data) and restrict processing.
2. I/We acknowledge that the Company and Fund Parties will retain my/our personal information for the duration of my/our investment. In determining appropriate retention periods, the Company shall have regard to the purpose(s) for which it was collected, the prescriptive periods under Maltese law (statutes of limitation) and any statutory obligations to retain information, including anti-money laundering, revenue and tax legislation.
3. I/We acknowledge that where the Company or a Fund Party requires my/our personal information to comply with AML or other legal requirements, failure to provide this information means the Company may not be able to accept me/us as an investor in the Sub-Fund and/or may be unable to process or release my/our investment in the Sub-Fund. This may result in the Company terminating its relationship with me/us.

The Undersigned has executed this Subscription Agreement as of the date set forth below.

Signature:

Name:

Position (if any):

Date and Place of Execution:

Signature:

Name:

Position (if any):

Date and Place of Execution:

Signing Instructions: All joint applicants must sign.

If the applicant is a corporation, an authorised officer(s) of that corporation must sign in compliance with its Charter or Memorandum and Articles of Association and, by signing this Subscription Agreement and Application Form, the authorised officer(s) thereby confirm and warrant that the corporation is so empowered to invest in the Company and that, if required, the relevant corporate resolution has been passed and executed by the Board of Directors of the corporation.

If an agent or attorney signs on behalf of the person named as the Investor, a copy of the relevant power of attorney or other document appointing the agent or power of attorney must be attached and the agent/attorney hereby accepts full responsibility for the obligations undertaken by his principal in subscribing for Investor Shares on such principal's behalf. Due diligence documents with respect to an agent or attorney will be requested by the Company, which documents may vary on a case-by-case basis.



Beneficiary:	AQA UCITS Funds SICAV plc Sure Fund Cash
SWIFT:	SWQBCHZZXXX
IBAN:	CH1208781000228839700

Bank:	Swissquote Bank SA
Bank Address:	Ch. de la Crétaux 33 Case Postale 319 CH-1196 Gland, Switzerland
Phone:	+41 22 999 94 11
Fax:	+41 22 999 94 12

GENERAL INFORMATION

The purpose of this pack is to gain a better understanding on the intent of the investment being made and the type of client subscribing within any of the Funds under the administration of CC Fund Services (Malta) Limited.

Investor Name	
Contact Email Address	
Fund Name <i>(This form will be considered valid for all funds within the mentioned SICAV, inclusive of future subscriptions)</i>	
Bank SWIFT Code <i>(confirming the bank details from/to which the subscription/redemption monies will be wired)</i>	
Bank IBAN/Account Number <i>(confirming the bank details from/to which the subscription/redemption monies will be wired)</i>	

Kindly select the applicable section(s) and provide the Administrator with **ALL** the listed due diligence documents according to Documentary Checklist found in the Annex below.

(NB. Upon review of this application the Fund Administrator reserves the right to request further document as may be required.)

- Regulated Financial Institution – Acting as a Nominee/Custodian - Omnibus/Pooled Account.
- Regulated Financial Institution – Acting as a Nominee/Custodian on behalf of one underlying investor.
- Listed and/or Regulated Financial Institution (investing on its own account)
- Corporate Entity (investing on its own account)
- Investment Vehicle/Collective Investments Fund
- Partnership
- Trust
- Foundation
- Association
- Regulated Fiduciary
- Unregulated Fiduciary

This Section is to be completed by **ALL** types of investors:

- I am investing in the Fund as an Agent acting on behalf of someone else
- I am investing in the Fund as a Principal

PEP DECLARATION

In compliance with regulatory requirements and as per Maltese Law (Prevention of Money Laundering and Funding of Terrorism Regulations, SL 373.01), CC Fund Services (Malta) Limited, as a subject person is required to obtain information from our investors confirming whether they fall under the category of a PEP or not.

This Section is to be completed by ALL types of investors – Reference Definition of Politically Exposed Person/s for reference:

- I/We declare that the investor shares held within the above-mentioned sub-fund are NOT ultimately owned/controlled by a PEP (the Underlying Investor).
- I/We declare that the investor shares held within the above-mentioned sub-fund are ultimately owned/controlled by a PEP (the Underlying Investor).

Please fill in the following details, should any of the underlying investor/s be a PEP:

Type of PEP <i>(e.g. Head of State, Ambassador, etc.,)</i>	
Nationality of PEP	
Jurisdiction where the investor is a PEP	
Risk Rating associated with the PEP	

SOURCE OF WEALTH & SOURCE OF FUNDS DECLARATION

In compliance with regulatory requirements and as per Maltese Law (Prevention of Money Laundering and Funding of Terrorism Regulations), CC Fund Services (Malta) Limited, as a subject person is required to obtain information from our investors outlining their source of wealth and source of funds once initiating a business relationship with yourselves.

The FIAU Implementing Procedures Part I dated 18th October 2021, makes the following definitions “Source of wealth” is defined as being the economic activity or activities that generate the customer’s wealth. “Source of funds” refers to the activity, event, business, occupation or employment generating the funds used in a transaction.

In this regard, kindly tick the relevant boxes and provide us with the necessary supporting documentation as outlined in Source of Funds & Source of Wealth – Documentary Evidence:

Source of Wealth & Source of Funds	Source of Wealth	Source of Funds
Sale of securities or other investment	<input type="checkbox"/>	<input type="checkbox"/>
Sale of property	<input type="checkbox"/>	<input type="checkbox"/>
Maturing investments or policy claim	<input type="checkbox"/>	<input type="checkbox"/>
Individual owns policy/company pays premium	<input type="checkbox"/>	<input type="checkbox"/>
Dividends or profits from private company	<input type="checkbox"/>	<input type="checkbox"/>
Company sale	<input type="checkbox"/>	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>	<input type="checkbox"/>
Maturity or redemption of shareholder’s loan	<input type="checkbox"/>	<input type="checkbox"/>
Gift	<input type="checkbox"/>	<input type="checkbox"/>
Lottery/betting/casino win	<input type="checkbox"/>	<input type="checkbox"/>
Compensation payment (<i>this could be a decision or award by a court, tribunal or arbiter or else an out-of-court settlement</i>)	<input type="checkbox"/>	<input type="checkbox"/>
Savings and investment	<input type="checkbox"/>	<input type="checkbox"/>
Insurance claims	<input type="checkbox"/>	<input type="checkbox"/>
Divorce or separation settlement	<input type="checkbox"/>	<input type="checkbox"/>
Income from employment (<i>including bonus</i>)	<input type="checkbox"/>	<input type="checkbox"/>
Retirement income	<input type="checkbox"/>	<input type="checkbox"/>
Other monies (<i>please clarify in the space below</i>)	<input type="checkbox"/>	<input type="checkbox"/>

RISK PROFILE QUESTIONNAIRE

About the Registered Shareholder

What is the nature of business/business activities of the 'Registered Shareholder' subscribing for shares?

What are the main products/services offered by the 'Registered Shareholder' subscribing for shares?

Please provide an estimate of your total net worth

(i.e. the legal entity's net wealth after deducting your financial commitments):

Under EUR 100,000
(or equivalent)

Between EUR 1,000,001 and EUR 5,000,000
(or equivalent)

Between EUR 100,001 and EUR 250,000
(or equivalent)

Between EUR 5,000,000 and EUR 10,000,000
(or equivalent)

Between EUR 250,001 and EUR 500,000
(or equivalent)

More than EUR 10,000,001
(or equivalent)

Between EUR 500,001 and EUR 1,000,000
(or equivalent)

Please advise the total expected amount to be invested in the FUND:

Between EUR 0 and EUR 100,000
(or equivalent)

More than EUR 500,000
(or equivalent)

Between EUR 100,001 and EUR 250,000
(or equivalent)

Please specify Amount:

Between EUR 250,001 and EUR 500,000
(or equivalent)

Please advise on the top (5) five (if applicable) jurisdictions, where the legal entity (the 'Registered Shareholder' subscribing for shares) has its:

1. Main place of business or where the wealth generating activity is carried out and;
2. Strong trading/financial connections or relevant personal links (i.e. commercial contracts entered with other persons/entities residing or being incorporated in a particular jurisdiction)

Do you have an office and staff in the country of registration?

Yes

No

If no, please elaborate

NB. If the registered shareholder who is completing this form is subscribing "on behalf of a Third Party", the below answers should be completed based on "your own" company's marketing projections and expectations.

Please advise the frequency of transactions/how often you intend to invest.

- Once
- Every 6 months
- Every 12 months

Other
Please specify below:

Please advise the expected duration of the investment in the Fund:

- Short Duration (up to 1 year)
- Medium Duration (1 -3 years)
- Long Duration (3+ years)

Nominee Entities and Collective Investment Funds

Do any of the underlying customers provide goods and/or services (main markets) and/or have relationships or generated their wealth in, or to a jurisdiction listed in the:

- FATF List of jurisdictions with strategic deficiencies,
- the EU list identifying high risk 3rd countries with strategic deficiencies and/or
- the jurisdictions featuring in the top 20 countries of the Basel Index?

No

Yes If yes, please specify

What category of customers are being serviced by the "Registered Shareholder"
(Please choose ALL that apply):

- | | | |
|---|--|---|
| Individual Retail Clients <input type="checkbox"/> | Life Insurance Companies <input type="checkbox"/> | Small/Medium Businesses <input type="checkbox"/> |
| High Net Worth Clients <input type="checkbox"/> | Unregulated Entities <input type="checkbox"/> | Regulated Entities <input type="checkbox"/> |
| High Risk Clients (e.g. PEPs, complex structures, clients subject to adverse media/sanctions hits, clients domiciled on non-reputable jurisdictions) <input type="checkbox"/> | | |
| Charities <input type="checkbox"/> | Companies with Bearer Shares <input type="checkbox"/> | Fiduciaries/Trusts/Foundations <input type="checkbox"/> |
| Cash Intensive Business <input type="checkbox"/> | Crypto <input type="checkbox"/> | Safe Custody Services <input type="checkbox"/> |
| High Value Goods such as Antiquities and Precious Metals <input type="checkbox"/> | | Real Estate <input type="checkbox"/> |
| Betting Companies/Casinos <input type="checkbox"/> | Citizenship Investment Programmes <input type="checkbox"/> | |

Other (Please specify)

Please advise on the top five jurisdictions (if applicable) where the beneficial owners/underlying investors of the above-mentioned designated account are located.

Are any of the underlying customers subscribing within the above-mentioned SICAV, resident/registered in a jurisdiction on any of the below lists:

1. Financial Action Task Force ("FATF") Public Documents;
2. Commission Delegated Regulation (EU) 2016/1675 of 14 July 2016 Identifying high-risk third countries with strategic deficiencies; and
3. Statements and/or Declarations issued by the FATF or by an FATF-Style Regional Body (FSRBs).

No

Yes *If yes, please specify*

DECLARATION

I/We the undersigned hereby declare that the information provided herewith is correct to the best of my/our knowledge.

I/We undertake to notify the Administrator of any changes in the information as set out in this Risk Profile Questionnaire.

I/We undertake to immediately inform the subject person (CC Fund Services (Malta)) about any changes in the information provided at the inception of the business relationship, in accordance with FIAU IPs Page 168 Chapter 4.

I/We acknowledge the fact the CC Fund Services (Malta) limited reserves the right to request any further information, documentation or data, from time to time, as it may deem fit.

The Undersigned has executed this declaration as of the date set forth below

Signature:

Name:

Position (if any):

Date and Place of Execution:

Signature:

Name:

Position (if any):

Date and Place of Execution:

Signing Instructions: All joint applicants must sign.

If the applicant is a corporation, an authorised officer(s) of that corporation must sign in compliance with its Charter or Memorandum and Articles of Association and, by signing this Declaration, the authorised officer(s) thereby confirm and warrant that the corporation is so empowered to invest in the Sub-Fund as mentioned previously and that, if required, the relevant corporate resolution has been passed and executed by the Board of Directors of the corporation.

If an agent or attorney signs on behalf of the person named as the Investor, a copy of the relevant power of attorney or other document appointing the agent or power of attorney must be attached and the agent/attorney hereby accepts full responsibility for the obligations undertaken by his principal in subscribing for Investor Shares on such principal's behalf. Due diligence documents with respect to an agent or attorney will be requested by the Company, which documents may vary on a case-by-case basis.

ANNEX

Definition of Politically Exposed Person/s

Politically exposed persons (“PEPs”) are natural persons who are or have been entrusted with prominent public functions in any jurisdiction and include their family members or persons known to be close associates of such persons, not including middle ranking or more junior officials.

1. The term ‘natural persons who are or have been entrusted with prominent public functions in any jurisdiction’ includes the following (including, where applicable, positions held at the European Union or international level):

- Heads of State, Heads of Government, Ministers, Deputy or Assistant Ministers and Parliamentary Secretaries;
- Members of Parliament or similar legislative bodies;
- Members of the governing bodies of political parties;
- Members of the superior, supreme and constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
- Members of courts of auditors, audit committees or of the boards of central banks;
- Ambassadors, charges d’affaires and other high-ranking officers in the armed forces; and
- Members of the administrative, management or supervisory boards of state-owned corporations.
- Anyone exercising a function equivalent to those set out in paragraphs (a) to (f) within an institution of the European Union or any other international body
- Anyone entrusted with a prominent public function listed in an order issued by the Minister in the Government Gazette in terms of article 12 (5) of the Prevention of Money Laundering Act of Malta or is included in any other equivalent list issued by any other jurisdiction or international organization.

The above list of “prominent public functions” is a non-exhaustive list and each case will be taken on a case by case basis.

(2) The term ‘family members’ includes the following (in relation to a person identified in Section 1 above): their spouse, or any partner recognised by national law as equivalent to the spouse;

- their children and their spouses or partners; and
- their parents;

(3) The term ‘persons known to be close associates’ shall include the following:

- A natural person known to have joint beneficial ownership of a body corporate or any other form of legal arrangement, or any other close business relations with a person identified in Section 1 above;
- A natural person who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of a person identified in Section 1 above.

Source of Funds & Source of Wealth – Documentary Evidence

Source of Wealth & Source of Funds	Examples of documentary evidence to be collected
Sale of securities or other investment	Investment/savings certificates, contract notes or statements; Written confirmation from the relevant investment company on the letter headed paper; Bank statement showing receipt of funds from investment company name; or Signed letter detailing funds from a warranted accountant on letter headed paper
Sale of property	Signed letter from a lawyer or a notary on letter headed paper notifying proceeds of claim; or Contract of sale
Maturing investments or policy claim	Letter from previous investment company on letter headed paper notifying proceeds of claim; Chargeable Event Certificate; or Closing statement
Individual owns policy/company pays premium	A copy of trading details or an annual report from the company's website (if applicable); Hard copy of the latest annual report; or Copy of the company's certificate of incorporation (or equivalent); AND Policy statement; or Bank statement showing credit
Dividends or profits from private company	Dividend contract note; Letter showing dividend details signed by a warranted accountant on letter headed paper; Set of company accounts showing the dividends details; or Bank statement clearly showing receipt of funds and the name of the company paying dividend; AND A document providing proof of shareholding such as a copy of the M&A of the company, a certificate of incumbency a dated print-out of a company registry search
Company sale	Signed letter from a lawyer or a notary on letter headed paper; Signed letter from a warranted accountant on letter headed paper; Copy of contract of sale and bank statement showing credit to account consequent to the sale; or Copies of media coverage (where applicable) as supporting evidence
Inheritance	A copy of the will that must include the value of the estate; or A lawyer or notary's letter on letter headed paper or a letter from the trustees of an estate that includes the type of asset and respective value
Maturity or redemption of shareholder's loan	Loan agreement; or Recent loan statements
Gift	Document (e.g. letter from the donor) showing who gave the gift, when, the relationship between the donor and donee and (if possible and applicable) why the donation was made, together with the verification of identity of the donor, and information and the source of the donor's wealth
Lottery/betting/casino win	Letter from relevant organization (Lottery headquarters/betting shop/casino); A certificate of winnings issued by the relevant company or casino; In the case of lottery winnings, a bank statement showing funds deposited by company name; or Copies of media coverage (where applicable) as supporting evidence
Compensation payment <i>(this could be a decision or award by a court, tribunal or arbiter or else an out-of-court settlement)</i>	A letter/court order from a compensating body clearly showing the amount of compensation; or Lawyer's letter on letter headed paper clearly establishing the amount
Savings and investment	Bank statement(s) demonstrating deposited/gifted monies; or Documentation evidencing an inward transfer from portfolio
Insurance claims	A letter from the insurance provider on letter headed paper
Divorce or separation settlement	A copy of the court order or judicial separation agreement and verification the funds have originated from the account of the former spouse
Income from employment <i>(including bonus)</i>	An original or certified copy of a recent pay slip; Written confirmation of annual salary/bonus amounts signed by employer; or Bank statement clearly showing receipt of most recent regular salary payments from named employer
Retirement income	Pension statement; Signed letter from a warranted accountant on letter headed paper; Letter from annuity provided; or Bank statement showing receipt of latest pension income and name of provider
Other monies	Appropriate supporting documentation; or Signed letter detailing funds from warranted accountant/lawyer/entity licensed to provide investment services on letter headed paper

Documentary Checklist

Individual

- (1) Valid government issued document which shows a photograph, full name, date and place of birth, identification number and nationality of the investor;
- (2) Residential and permanent address document dated within the last 6 months
- (3) Bank statement confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent dated within the last 6 months
- (4) Where applicable a power of attorney for the agent to act on behalf of the investor.

Regulated Financial Institutions – Acting as a Nominee/Custodian

- AML Wolfsberg Questionnaire;
- AML letter dated within the last 6 months, provided on the company's letterhead, addressed to the respective SICAV/s of the investment and signed by the compliance department in wet ink. The AML Letter must include:
 - A confirmation that CDD has been undertaken on all underlying customers;
 - A confirmation that CDD information and documentation on the underlying customers will be made immediately available to the Fund upon request and;
 - A confirmation that the identity of the signatories listed on the authorised signatory list have been verified;
 - A confirmation to immediately inform the subject person (CC Fund Services (Malta) about any changes in the information provided at the inception of the business relationship, in accordance with FIAU IPs Page 168 Chapter 4.
- A downloaded Copy of License to act as Nominee or equivalent;
- A copy of the Certificate of Good Standing dated within the last 3 months (in the case of regulated entities) or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the company;
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

Listed and/or Regulated Corporate Entity (investing on its own account)

- If the company is investing for its own account:
 - If applicable, evidence of listing on an EU/EEA or equivalent market;
 - A copy of the Certificate of Good Standing dated within the last 3 months (in the case of regulated entities) or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
 - If applicable, proof of regulation (either by providing a copy of the licence or an extract from the regulator's website);

- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the company;
 - A confirmation that the signatories listed on the authorised signatory list have been verified
- Latest Audited Financial Statements;
- A Company Structure Chart and a Company Organogram which needs to be dated and signed by the authorised signatories of the company;
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself;

Corporate Entity (investing on its own account)

- A copy of the most recent Memorandum & Articles of Association;
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company; ;
- If applicable, proof of regulation from the regulator's website or equivalent;
- Shareholders Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-to-day basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the company;
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- A declaration signed by the Board of Directors, authorising the investment and conferring authority on those giving instructions;
- A copy of the latest audited financial statements, annual returns and/or tax returns;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality for the following individuals:
 - Any natural persons who execute control on a daily basis such as the Directors;
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural persons acting as authorised signatories or as agents.
- Copy of a residential and permanent address document dated within the last 6 months for the following individuals:
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural person controlling the legal entity through other means;
 - Any natural persons acting as authorised signatories or as agents
- PEP Declaration of the UBOs or senior managing officials (as applicable):
 - Any natural persons who execute control on a daily basis such as the Directors;
 - Any natural person controlling the legal entity through other means;
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
- A copy of the organisation's bank statements not older than 6 months;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

Investment Vehicle

- AML letter dated within the last 6 months, provided on the company's letterhead, addressed to the respective SICAV/s and signed by the compliance department in wet ink. The AML Letter must include:
 - A confirmation that CDD information and documentation on the underlying investors will be made immediately available to the Fund upon request and;
 - A confirmation that CDD has been undertaken on all underlying investors;
 - A confirmation that the identity of the signatories listed on the authorised signatory list have been verified;
- AML Wolfsberg Questionnaire of the Transfer Agent;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the company;
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- Shareholders (Investor) Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- A declaration signed by the Board of Directors, authorising the investment and conferring authority on those giving instructions;
- Shareholding Structure Chart in respect of the Founder Shareholders / Management Shares (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-today basis;
- A copy of the most recent Memorandum & Articles of Association or equivalent;
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- If applicable, proof of regulation/license from the regulator's website or equivalent;
- A copy of the prospectus (offering document) or equivalent;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality for the following individuals:
 - Any natural persons who execute control on a daily basis such as the Directors;
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural persons acting as authorised signatories or as agents (If applicable).
- Copy of a residential and permanent address document dated within the last 6 months for the following individuals:
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural person controlling the legal entity through other means;
 - Any natural persons acting as authorised signatories or as agents (If applicable).
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

Partnership

- A copy of the most recent version of the partnership agreement or other constitutive document;
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- A written representation on the following information:
 - Full name, address, date and place of birth, nationality and identification number of all partners vested with the representation and management of the partnership
 - Number of individuals owning or controlling 25% or more of the partnership's capital/profit/voting rights;
 - Full name, address, date and place of birth, nationality and identification number of all partners of individuals owning or controlling 25% or more of the partnership's capital/profit/voting rights (ie taking into account any limited and/or unlimited partners)
- Identification evidence of all the persons vested with the partnership's administration and representation;
- Shareholders Register within the last 6 months;

- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Evidence that the information of the beneficial owners of the partnership has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-today basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- A copy of the mandate/deed/resolution from the partnership authorising the transactions and conferring authority on those who will undertake transactions;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the company;
 - A confirmation that the identity of signatories listed on the authorised signatory list have been verified.
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- Audited financial statements, annual returns and/or tax returns;
- A copy of the organisation's bank statements not older than 6 months;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality for the following individuals:
 - Any natural persons who execute control on a daily basis such as the Directors;
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural persons acting as authorised signatories or as agents.
- Copy of a residential and permanent address document dated within the last 6 months for the following individuals:
 - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
 - Any natural person controlling the partnership through other means;
 - Any natural persons acting as authorised signatories or as agents
- PEP Declaration of the UBOs or senior managing officials (as applicable):
- Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly)

If the partnership is an investment vehicle:

- Extract from commercial register;
- Please provide us with the documentation as listed in the Investment Vehicles section (provided that this has not been included already as part of the above documentation).

Trust

- A copy of the Trust Deed including the (i) name of the Trust (ii) nature of the Trust (e.g discretionary Trust, testamentary Trust, bare Trust etc) (iii) objective and purpose of the Trust (e.g. wealth management, estate planning etc) (iv) country of administration and (v) registration number (if applicable);
- Certified true copy of the Ownership and Control Structure of the Trust signed by the Trustee (outlining all involved parties)
- Extract of authorization from the relevant regulator confirming that the Trustee is regulated in a reputable country (if applicable);
- Signed Trustee resolution/confirmation authorising the investment and conferring authority on those giving instructions;
- Confirmation if there is someone else who controls the goods belonging to the Trust;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by the Trustee;

- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- Evidence that the information of the beneficial owners of the trust have been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself for the settlor and any other person who has contributed assets into the trust;
- PEP Declaration of the UBOs (settlors, Trustee, protector, beneficiaries and any other person any other person who exercise ultimate control over the Trust)
- If the Trust is an investment vehicle:
 - Extract from commercial register;
 - Documentation as listed in the Investment Vehicles section (provided that this has not been included already as part of the above documentation).
- Kindly provide us with following documents in respect of each settlor, Trustee, protector (where applicable), beneficiary and any other natural person exercising ultimate control over the Trust by means of a direct or indirect ownership or by other means:

When the settlor, Trustee, protector (where applicable), beneficiaries or any other person who exercise ultimate control over the Trust are natural persons:

- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality
- A copy of a residential and permanent address document dated within the last 6 months.

In respect of a Trustee regulated entity in a reputable jurisdiction:

- A downloaded copy of license or equivalent
- AML letter dated within the last 6 months, provided on the Trustee's letterhead, addressed to the respective SICAV/s of the investment. The AML Letter must include a confirmation of the type of CDD measures undertaken on the ultimate beneficial owners of the trust (ie settlor, protector, beneficiaries and trustee) and that CDD information and documentation on the ultimate beneficial owners of the trust will be made immediately available to the Fund upon request;
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;

In respect of a Trustee which is unregulated or which is regulated but established in a non-reputable jurisdiction:

- A downloaded copy of license or equivalent (if applicable)
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- AML letter dated within the last 6 months, provided on the Trustee's letterhead, addressed to the respective SICAV/s of the investment. The AML Letter must include a confirmation of the type of CDD measures undertaken on the ultimate beneficial owners of the trust (ie settlor, protector, beneficiaries and trustee) and that CDD information and documentation on the ultimate beneficial owners of the trust will be made immediately available to the Fund upon request;
- Shareholders Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram

- indicating who exercises control on a day-to-day basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality of the UBOs of the Trustee;
- A copy of a residential and permanent address document dated within the last 6 months of the UBOs of the of the Trustee.

In respect of the settlor, protector (where applicable), and/or beneficiary which are entities:

- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- Shareholders Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-to-day basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality of the UBOs;
- A copy of a residential and permanent address document dated within the last 6 months of the UBOs.

Foundation or Association

- A copy of the Certificate of Registration;
- A copy of the most recent version of the constitutive document;
- A copy of the Certificate of Good Standing dated within the last 3 months;
- A copy of the Ownership and Control Structure Chart of the of the Foundation signed by the administrator (include all parties within the foundation or association);
- Evidence that the information of the beneficial owners of the foundation has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- Confirmation if there is someone else who controls the goods belonging to the Foundation;
- Confirmation whether someone other than the founder has contributed assets to the foundation;
- A signed resolution authorising the investment and conferring authority on those giving instructions
- A confirmation that the identity of signatories listed on the authorised signatory list have been verified;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by the administrator;
- A Standard Settlement Instructions confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- AML letter dated within the last 6 months, provided on the company's letterhead, addressed to the respective SICAV/s and signed by the compliance department in wet ink. The AML Letter must include:
 - A confirmation that CDD information and documentation on the underlying investors will be made immediately available to the Fund upon request and;
 - A confirmation that CDD has been undertaken on all underlying investors;
 - A confirmation that the identity of the signatories listed on the authorised signatory list have been verified;
- A copy of the latest audited financial statements, annual returns and/or tax returns;
- A copy of the organisation's bank statements not older than 6 months;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself for the founder and any other person who has contributed assets into the foundation.

- PEP Declaration for all the UBOs (ie founder, protector, beneficiaries, administrator)
- If the Foundation is an investment vehicle:
 - Extract from commercial register;
 - Documentation as listed in the Investment Vehicles section (provided that this has not been included already as part of the above documentation).
- Kindly provide us with following documents in respect of each founder, protector/supervisory council member, beneficiary and any other natural person controlling the foundation/association:

When the founder, protector/supervisory council member, beneficiary and any other person controlling the foundation/association are natural persons:

- A copy of a valid government issued document which shows a photograph, full name, date and place of birth, identification number and nationality
- A copy of a residential and permanent address document dated within the last 6 months

In respect of an Administrator regulated entity in a reputable jurisdiction:

- A downloaded copy of license or equivalent
- AML letter dated within the last 6 months, provided on the Trustee's letterhead, addressed to the respective SICAV/s of the investment. The AML Letter must include a confirmation of the type of CDD measures undertaken on the ultimate beneficial owners of the trust (ie settlor, protector, beneficiaries and trustee) and that CDD information and documentation on the ultimate beneficial owners of the trust will be made immediately available to the Fund upon request;
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;

In respect of a Administrator which is unregulated and/or which is regulated but established in a non-reputable jurisdiction:

- A downloaded copy of license or equivalent (if applicable)
- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- AML letter dated within the last 6 months, provided on the Administrator's letterhead, addressed to the respective SICAV/s of the investment. The AML Letter must include a confirmation of the type of CDD measures undertaken on the ultimate beneficial owners of the foundation (ie founder, supervisory council, beneficiaries and administrator) and that CDD information and documentation on the ultimate beneficial owners of the foundation will be made immediately available to the Fund upon request;
- Shareholders Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-to-day basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- Declaration signed by authorised signatory indicating the full name, date and place of birth, identification number, permanent residential address and nationality of all the directors.
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality of the UBOs of the Administrator;
- A copy of a residential and permanent address document dated within the last 6 months of the UBOs of the of the Administrator.

In respect of the founder, supervisory council (where applicable), and/or beneficiary which are entities:

- A copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- Shareholders Register within the last 6 months;
- Directors Register (not older than 6 months) indicating the Full Name, date and place of birth, identification number, permanent residential address and nationality of all the directors;
- Shareholding Structure Chart (indicating each layer within the shareholder structure up till the UBOs including the respective percentages) signed and dated by the authorised signatories of the entity and a Company Organogram indicating who exercises control on a day-to-day basis;
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO;
- Copy of a valid government issued document which shows a photograph, full name, date and place of birth, expiry date, identification number and nationality of the UBOs;
- A copy of a residential and permanent address document dated within the last 6 months of the UBOs.

Regulated Fiduciary

- Fiduciary Mandate;
- A downloadable version from regulator's website of License to act as a fiduciary;
- AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink. The AML Letter must include:
 - A Confirmation that CDD information and documentation on the underlying customers will be made immediately available to the Fund upon request and;
 - A confirmation that CDD has been completed in respect of all underlying customers;
 - A confirmation that the identity of the signatories listed on the authorised signatory list have been verified;
- A Certified true copy of the Certificate of Good Standing dated within the last 3 months or alternatively an extract from the registry of company website confirming the name, address, registration number, date of incorporation and status of the company;
- AML Wolfsberg Questionnaire;
- Proof of registration from the business registry's website indicating full name, registration number, registered address and country of incorporation;
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the fiduciary;
- Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- A copy of a Company Structure Chart and Company signed and dated by the authorised signatories (outlining each layer within the shareholding structure up till the UBOs);
- A brief explanation of the entity's activities;
- Signed resolution/confirmation authorising the investment and conferring authority on those giving instructions;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself of the underlying investor;
- PEP Declaration Form of the underlying investor and its UBO.
- Depending on the type of underlying customer, documentation as listed in the respective section (provided that this has not been included already as part of the above documentation).

Unregulated Fiduciary

- Fiduciary Mandate;
- Certified copy/Downloadable version from regulator's website of License to act as a fiduciary;
- AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink. The AML Letter must include:
 - A Confirmation that CDD information and documentation on the underlying customers will be made immediately available to the Fund upon request
 - A confirmation that CDD has been completed in respect of all underlying customers; and;
 - A confirmation that the identity of the signatories listed on the authorised signatory list have been verified;
- Either a certificate of Incorporation or a Certified true copy of the Certificate of Good Standing dated within the last 3 months:
- Proof of registration from the business registry's website indicating full name, registration number, address and country of incorporation;
- AML Wolfsberg Questionnaire (if available);
- Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers signed and dated by an official of the fiduciary;
- Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- A company Structure Chart and Company Organogram signed and dated by the authorised signatories (outlining each layer within the shareholding structure up till the UBOs);
- Evidence (such as register of members, good standing certificate, certificate of incumbency, financial statements, trade registry extracts etc) linking each shareholding level to the other up until the UBO of the fiduciary;
- A brief explanation of the entity's activities;
- Self-Certification Form (for CRS purposes);
- W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- Evidence that the information of the beneficial owners of the company has been filed and registered with the relevant competent authority (applies only to customers incorporated in an EU Member state subject to registration of beneficial owner information);
- A copy of a valid government issued document which shows a photograph, full name, date and place of birth, identification number and nationality for the following individuals:
 - Any natural persons holding or controlling more than 25% of the shares, voting rights or ownership interest (directly or indirectly) of the partnership and of any person exercising control via other means of the fiduciary, or in the absence, of the persons exercise control on a day to day basis, such as directors.
- A copy of a residential and permanent address document dated within the last 6 months for the following individuals:
 - Any natural persons holding or controlling more than 25% of the shares, voting rights or ownership interest (directly or indirectly) of the partnership and of any person exercising control via other means of the fiduciary, or in the absence, of the persons exercise control on a day to day basis, such as directors.
- A signed resolution/confirmation authorising the investment and conferring authority on those giving instructions
- PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself of the underlying investor(s);
- PEP Declaration Form of the underlying investor and its UBOs (where applicable)
- Depending on the type of underlying customer, documentation as listed in the respective section.

GENERAL NOTES

In line with the latest FIAU Implementing Procedures, the following information has been compiled to assist the client in providing the respective documentation as required under Maltese regulations.

The below list outlines the proof of identity documentation accepted by the Administrator:

- A valid unexpired passport;
- A valid unexpired national or other government-issued identity card;
- A valid unexpired residence card; or
- A valid unexpired driving license.

The below list outlines the proof of address documentation accepted by the Administrator:

- Correspondence from a central or local government authority, department or agency;
- An official conduct certificate;
- Any other government-issued document not mentioned above;
- A recent statement or reference letter issued by a recognised credit institution or entity carrying out relevant financial business in Malta, or equivalent activities in a Member State of the EU or in a reputable jurisdiction;
- A recent utility bill; and
- A lease contract or agreement.

Any documentation that is to be certified as a true copy of the original should be certified as per the below guidelines: Certification of the documentation used for **verification of identity** should be evidenced by a written statement stating that:

- The document is a true copy of the original document;
- the document has been seen and verified by the certifier; and
- The photo is a true likeness of the document holder.

Certification of the documentation used for **verification of permanent and residential address** should be evidenced by a written statement stating that:

- The document is a true copy of the original document; and
- The document has been seen and verified by the certifier.

The certifier must sign and date the copy document (indicating his name and surname clearly beneath the signature) and clearly indicate his profession, designation or capacity on it and provide his contact details (including the address).

The certification must be carried out within the previous six months by a legal professional, accountancy professional, or a notary. The Administrator must be able to verify the existence and professional capacity of the certifier through public registry (e.g. Accountancy Board, Bar Association, etc.). The certification should be done in English.

The lists of documents required mentioned above are not exhaustive lists and more documentation may be requested on a case by case basis.

ENTITY SELF-CERTIFICATION FORM

This self-certification form (the 'Form') is to be completed by all legal entities including, for this purpose, companies, partnerships, trusts and foundations.

The information on the Form is collected for any existing or future legislation enacted by any jurisdiction that provides for the automatic exchange of information including, without limitation, the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) for the automatic exchange of financial account information.

Please note that in certain circumstances the Company and the Administrator may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant IGA's, applicable regulations and guidance notes.

If any of the information below regarding your tax residency changes in the future you are obliged to notify the Company at the offices of the Administrator of these changes promptly.

If you have any questions about how to complete this form, please contact your tax advisor.

SECTION 1: ENTITY IDENTIFICATION

The purpose of this pack is to gain a better understanding on the intent of the investment being made and the type of client subscribing within any of the Funds under the administration of CC Fund Services (Malta) Limited.

Entity Name	
Country of Organisation or Incorporation	
Registered Address <i>(Street, apt or suite no, or rural route no)</i> Do not use a P.O. box or care-of address.	
City or town, state or province <i>(include postal code where appropriate)</i>	
Country	
Mailing Address (if different) <i>(Street, apt or suite no, or rural route no).</i> Do not use a P.O. box or care-of address.	
City or town, state or province <i>(include postal code where appropriate)</i>	
Country	

SECTION 2: US ENTITIES

Please tick and complete as appropriate.

a) The entity is a **Specified US Person** and the US federal taxpayer identifying number (US TIN) is as follows:

b) The entity is a **US Person** that is not a Specified US Person. Please indicate exemption¹:

¹ Under the US IGA and in the U.S. Internal Revenue Code, Specified US Person does not include: An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37); The United States or any of its agencies or instrumentalities; A state, the District of Columbia, a possession of the United States, or any of their political subdivisions, or instrumentalities; A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i); A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i); A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state; A real estate investment trust; A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940; A common trust fund as defined in section 584(a); A bank as defined in section 581; A broker; A trust exempt from tax under section 664 or described in section 4947; or A tax-exempt trust under a section 403(b) plan or section 457(g) plan.

Complete Section 3 if the entity is tax resident outside the US.

SECTION 3: DECLARATION OF TAX RESIDENCE (OTHER THAN US)

It is imperative that the Tax Identification Number/s (TIN) or equivalent is written in the correct format as determined by the respective tax authority. For guidance in relation to TIN structures, kindly refer to:

<https://www.oecd.org/tax/automaticexchange/crs-implementation-and-assistance/tax-identification-numbers/>.

NOTE: If a TIN is unavailable, please provide the appropriate reason **A** or **B** where applicable.

Reason A The country/jurisdiction where the Entity is tax resident does not issue TINs to its residents.

Reason B The Entity is otherwise unable to obtain a TIN or equivalent number, or no TIN is required (Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Country/Countries of Tax Residence	TIN or Equivalent	Reason no TIN was provided (A or B)	Explanation for not providing a TIN for the respective tax residency

SECTION 4: ENTITY FATCA CLASSIFICATION

Please tick and complete as appropriate.

A) If you are a **Registered Financial Institution**, please tick one of the below categories, and provide your FATCA GIIN number:

- Reporting Model 1 Foreign Financial Institution
- Reporting Model 2 Foreign Financial Institution
- Participating Foreign Financial Institution
(including a US Financial Institution that has registered and obtained a GIIN)
- Registered Deemed-Compliant Foreign Financial Institution

Please provide your Global Intermediary Identification Number (GIIN):

B) If you are a **Financial Institution but unable to provide a GIIN**, please tick one of the reasons below:

- The entity is a Model 1 Financial Institution and has not yet obtained a GIIN but intends to do so, if required
- The entity is a Certified Deemed-Compliant Non-Registering Local Bank
- The entity is a Certified Deemed-Compliant Foreign Financial Institution with only low value accounts
- The entity is a Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle
- The entity is a Certified Deemed-Compliant Limited Life Debt Investment Entity
- The entity is a Certified Deemed-Compliant Investment Advisor or Investment Manager.
- The entity is a Non-Participating Foreign Financial Institution.
- The entity is an Owner-Documented Foreign Financial Institution.
- The entity is a Non-Reporting IGA Foreign Financial Institution. If you are a trustee documented trust or a sponsored entity, please provide the name of the trustee or sponsor and also the GIIN.

Name of Trustee/Sponsor:

GIIN:

- The entity is an Exempted Inter-Affiliate Foreign Financial Entity
- The entity is a Territory Financial Institution
- The entity is a US Financial Institution.

C) If you are not a **Financial Institution**, please confirm the Entity's FATCA status below.

- The entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN.

Trustee's Name:

Trustee's GIIN:

- The entity is a Restricted Distributor.
- The entity is a Foreign Government, Government of a US possession, or Foreign Central Bank of issue.
- The entity is an International Organisation.
- The entity is a Non-Financial Group Entity.
- The entity is wholly owned by Exempt Beneficial Owners.
- The entity is a 501(c) Organisation.
- The entity is a Non-Profit Organisation.
- The entity is an Exempt Retirement Plan.
- The entity is an Exempted Non-Financial Start-Up Company.
- The entity is an Exempted Non-Financial Entity in Liquidation or Bankruptcy.
- The entity is an Excepted Territory Non-Financial Foreign Entity.
- The entity is a Publicly Traded Non-Financial Foreign Entity or Non-Financial Foreign Entity Affiliate of a Publically Traded Corporation.
- The entity is a Direct Reporting Non-Financial Foreign Entity.
- The entity is an Active Non-Financial Foreign Entity.
- The entity is a Passive Non-Financial Foreign Entity (please complete table below providing details of any **Controlling Persons & Beneficial Owners**).



Complete Section 5 & 6 if you are a Passive Non-Financial Foreign Entity.

SECTION 5: DETAILS OF THE CONTROLLING PERSONS² OF THE ENTITY

Controlling Person 1

(Please replicate in case of more than one Controlling Person)

First Name:	Surname:
Date of Birth:	Place & Country of Birth:
Current Residence Address:	
Mailing Address:	
ID/Passport No.:	

Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person:

Legal name of Entity 1:
Legal name of Entity 2:
Legal name of Entity 3:

Country of Tax Residence 1:	TIN 1:	Reason A, B or C for No TIN:	Please explain if you selected 'B'		
Country of Tax Residence 2:	TIN 2:	Reason A, B or C for No TIN:	Please explain if you selected 'B'		
Country of Tax Residence 3:	TIN 3:	Reason A, B or C for No TIN:	Please explain if you selected 'B'		
Controlling Person Type	Legal Person:	Control by Ownership <input type="checkbox"/>	Control by other means <input type="checkbox"/>	Senior Managing Official <input type="checkbox"/>	
	Legal Arrangement – Trust:	Settlor <input type="checkbox"/>	Trustee <input type="checkbox"/>	Protector <input type="checkbox"/>	
		Beneficiary <input type="checkbox"/>	Other <input type="checkbox"/>		
	Legal Arrangement – Other:	Settlor equivalent <input type="checkbox"/>	Trustee equivalent <input type="checkbox"/>	Protector equivalent <input type="checkbox"/>	
		Beneficiary equivalent <input type="checkbox"/>	Other equivalent <input type="checkbox"/>		
U.S. Person:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	US TIN:		

²Means the natural persons who exercise control over the entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any) and any other natural person that exercising ultimate effective control over the trust and in the case of a legal arrangement other than a trust, such term means the persons in equivalent positions such as directors (corporation) or general partner (limited partnership). If the controlling person is another legal vehicle, the natural persons that exercise control over that entity are deemed to be the controlling persons and must specify their details in Section 5 of the Form.

SECTION 6: DETAILS OF THE BENEFICIAL OWNERS OR BENEFICIARIES OF 25% (OR MORE) OF THE ENTITY

Beneficial Owner 1*	
Full Name:	
Details of beneficial owners' percentage:	
Beneficial Owner 2*	
Full Name:	
Details of beneficial owners' percentage:	
Beneficial Owner 3*	
Full Name:	
Details of beneficial owners' percentage:	

**Each natural person that is a Controlling Persons or Beneficial Owner must also complete the Individual Self-Certification Form.*

SECTION 7: DECLARATION AND UNDERTAKING

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

I declare that, if applicable, I have obtained permission from the Controlling Persons mentioned in part 5 to disclose information related to them for the purpose of it being reported to the tax authorities.

I undertake to notify the Company at the offices of the Administrator immediately and provide an updated self-certification form within 30 days should there be a change of circumstance which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so, I hereby consent to the recipient sharing this information with the relevant tax information authorities.

The Undersigned has executed this declaration as of the date set forth below

Signature:	Name:
	Date & Place of Execution:
(Please attach relevant mandate/resolution if applicable)	
Signature:	Name:
	Date & Place of Execution:
(Please attach relevant mandate/resolution if applicable)	

When completed, kindly sign this form (in paper or via DocuSign) and email to: transferagency@ccfundservices.com

(for any queries call +356 2568 8688)

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

► For use by individuals. Entities must use Form W-8BEN-E.
► Go to www.irs.gov/FormW8BEN for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

Instead, use Form:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.			Country
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.			Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ►

_____	_____
Signature of beneficial owner (or individual authorized to sign for beneficial owner)	Date (MM-DD-YYYY)
_____	_____
Print name of signer	Capacity in which acting (if form is not signed by beneficial owner)