

Professional Investor Application Form

Quilter Investors ICAV (the “ICAV”)

Important to Know

- If the applicant or beneficial owner is a US Person, Irish resident or ordinarily Irish resident, please do not use this form. Please contact us for the correct form.
- Please note that your account will not be opened (nor will you be able to receive distributions or redemption proceeds) unless and until we have your application and all other material that we consider is necessary.
- In this form, “we”, “us” and “our” refer to the ICAV and Quilter Investors Limited and its affiliates and delegates.
- Unless otherwise indicated, defined terms in this form have the same meaning as in the prospectus.
- **Please note the terms of this application form are not negotiable and you may not amend, delete, edit or supplement any term of this application form. Any such purported adjustments to terms that you may attempt to make by writing in sections of this form without authorisation shall be deemed not applicable and shall not adjust the terms on which the Shares are being offered to you. Please only complete this form as directed and sign as and where indicated.**
- Please ensure that you have read the most up to date Key Investor Information Document (“KIID”) for each share class in which you wish to invest before you sign this application form.

1. Account Owner

Print clearly in **BLOCK LETTERS** using dark ink.

Owners name	
Owners country of tax residency	Owner's tax id number
Confirm whether the investor is (a) listed/not listed; and, if listed, (b) subject to the requirements of the transparency directive or equivalent standards regarding transparency of ownership (specifying applicable regime) ²	

For completion by applicants who are tax resident outside the EU Member States:

- ☐ You confirm by ticking the box to the left that the applicant is not resident in an EU Member State and has not verified its identity by use of an EU passport/official identity card.

Registered Address

Address	
	City
Country	Postcode

Mailing Address ☐ Same as registered address

Address	
	City
Country	Postcode

Contact Information

Telephone	Email
Fax	Contact person and title <i>Required if owner is not an individual</i>

¹ Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC.

² Note the ICAV in its sole discretion retains power to decide on equivalence of any other regime.

2. Beneficial Owner

- ☐ Same as account owner (You **must** also complete Part 2 of this Section 2)
- ☐ Third party (account owner is an intermediary) (You **must** also complete both Part 1 and Part 2 of this Section 2)

Part 1: Third Party and Intermediary Information Complete ONLY if account owner is an intermediary.

Third party beneficial owner(s) name(s)	Name of regulator where intermediary is regulated
Type of investor (corporate, pension fund, etc.)	Confirm whether investor is (a) listed/not listed; and, if listed, (b) subject to the requirements of the transparency directive ³ or equivalent standards regarding transparency of ownership (specifying applicable regime) ⁴

Part 2: Beneficial Owners and the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulation 2019

Please tick here and proceed to Section 3 where the account holder or, if the account holder is an intermediary, the third party beneficial owner is listed on a regulated market and subject to disclosure requirements consistent with Union law⁵ or subject to equivalent standards which ensure adequate transparency of ownership information: ☐

Where sub-paragraphs (A) or (B) below are relevant, the following table must also be completed in order to enable the ICAV to comply with the European Union (Anti Money Laundering Beneficial Ownership of Corporate Entities) Regulation 2019 (SI No. 110 of 2019) (the “Beneficial Ownership Regulations”). If you become aware that you are a “beneficial owner” of the ICAV (as that term is defined in the Beneficial Ownership Regulations) you have certain legal obligations to provide the ICAV with relevant information, in particular any changes to the information below (including if you become aware that you have ceased to be a beneficial owner)(a “Relevant Change”). Please see Section 5, “Representations, Signature(s) and Dates” in respect of the statutory obligations to the ICAV.

- (A) If either (i) the beneficial owner is a natural person, and is the same as the account holder or (ii) the third party beneficial owner is a natural person please provide all information below.
- (B) If either (i) the account holder named in Section 1 or (ii) the third party beneficial owner named in Part 1 of Section 2 is **not** a natural person, please provide the following information for:
- each shareholder (or equivalent) that is a natural person with at least 25% ownership or control of the subscribing entity; and
 - where shareholder(s) (or equivalent) in the subscribing entity is/are an entity, any natural person(s) indirectly having at least 25% ownership or control of each relevant shareholder entity.

Name (first name, surname)								
Residential address								
Date of birth	D	D	M	M	Y	Y	Y	Nationality

Statement of (i) the nature and (ii) the extent of the interest in the ICAV held by the relevant natural person as beneficial owner⁶

For intermediaries only

Is this information being provided with the knowledge of the relevant natural person? Yes ☐ or No ☐

³ Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC.

⁴ Note the ICAV in its sole discretion retains power to decide on equivalence of any other regime.

⁵ Including the Transparency Directive (as defined in footnote (1))

⁶ For example, whether shares will be held by a natural person directly or indirectly via the account owner (or both), or control is exercised via other means (e.g. a right to issue binding directions affecting financial/operational policies under a shareholder agreement with the investor), and (ii) number of shares subscribed for if account holder is a natural person (with a breakdown of direct and indirect ownership as appropriate) or percentage of shares/voting rights held by a natural person in the investor. Please attach a continuation sheet if the space herein is insufficient

2. Beneficial Owner continued

Part 2: Beneficial Owners and the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulation 2019 continued

If you cannot provide the information requested in this Part 2 of Section 2 or any part(s) thereof, please (A) set out the reason(s) and (B) provide the particulars of any person likely to have knowledge of a relevant natural person, with confirmation as to whether this information is being provided with their knowledge⁷

⁷ Please attach a continuation sheet if the space herein is insufficient

3. Initial Investment(s)

Specify share number OR investment amount (including currency), but NOT both.

We must receive your payment by electronic transfer to the correct account (as advised to you separately) within 3 Business Days of the relevant Dealing Day or we may cancel your investment without notice or, alternatively, you may be charged interest together with an administration fee. In addition we will have the right to sell all or part of your holdings of Shares in the Fund or any other Fund of the ICAV in order to meet those charges.

Your payment must be in the currency of the share class in which you are investing.

Sub-fund name														Share class													
Currency	Amount															Number of shares											

Sub-fund name														Share class													
Currency	Amount															Number of shares											

Sub-fund name														Share class													
Currency	Amount															Number of shares											

4. Redemptions

Bank Account to Receive Redemption Proceeds

Registered owner (must be same as applicant)																							
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Name of your bank																							
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Bank Address																							
												City											
Country												Postcode											

Bank account number												Currency											

BIC/SWIFT/ABA												IBAN/CHAPS/CHIPS/SORT											

5. Representations, Signature(s) and Date

By signing below, you, the account owner(s), represent, acknowledge and agree as follows

- You represent that all the information in this application is correct and complete and that you have the legal power, authority and capacity to make this investment and sign this application whether in your own name or on behalf of another person or institution.
- You can evaluate the merits and risks of an investment in the shares in light of your financial condition and resources and have considered the risk factors as set out in the prospectus.
- You represent that this application complies with all applicable laws and regulations.
- You agree that this application is the agreement under which your account will operate, and that it will be governed by and interpreted under Irish law and adjudicated by the Irish courts.
- You acknowledge that you have been offered the current prospectus and instrument of incorporation of the ICAV and the most recent annual report or half-yearly report of the ICAV. You acknowledge that this application is subject to the provisions of the prospectus and instrument of incorporation of the ICAV and you are bound by the terms of these documents.
- *The following confirmation is applicable to applicants that are resident, domiciled and/or investing from within the European Economic Area ("EEA") or Switzerland only:*
 - you declare that the KIID(s) have been provided to you (electronically or by hard copy) prior to making the application for shares and that you have read and understood the nature and the risks of the product that is being offered to you.
 - you acknowledge and agree that the updated KIID(s) for each share class is available from our website as referenced herein and accordingly disclosed to you or such other website address as may be notified to you and that you will read the most up-to-date version of the relevant KIID(s) prior to making any subsequent application for shares.
 - where you are investing as nominee, you shall provide your client(s) with the relevant KIID(s) and you shall ensure that you do so in compliance with applicable legislation in any jurisdiction in carrying out this activity and you shall maintain records of your provision of the KIID(s) to your clients and shall furnish such records to the ICAV, or its delegates, upon request.
- You acknowledge that your account will not be opened unless and until we receive all materials we consider necessary and are satisfied that they are complete, correct, and authentic.
- You represent that you are not a US Person, Irish resident or Irish ordinarily resident, nor will this account be held for the benefit of, or on behalf of, such an investor and, should your status in this regard change, you will inform us in writing. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.
- You understand that we collect, store and use the data you provide in your interactions with us. You are advised to read in detail the Privacy Notice attached at Appendix IV. This document provides an outline of your data protection rights and our data protection obligations as they relate to your investment in the ICAV.
- You understand that we operate a single collections account in the name of the ICAV through which subscription monies and redemption proceeds and dividend income (if any) for each Fund are channelled. You further understand that this collections account shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held by the ICAV in the collections account for the account of a Fund at a point where such Fund (or another Fund of the ICAV) becomes insolvent. Upon receipt into the collections account, subscription monies, redemption proceeds or dividend income will be the property of the relevant Fund and accordingly you will be treated as a general creditor of the relevant Fund during the period such monies are held in the collections account. You note that further information on the operation of the omnibus subscriptions/redemptions account and the associated risks are disclosed in the Prospectus.
- You consent to our sharing of information with legal, regulatory or tax authorities in any country as required by applicable law and regulation, and with other entities for the purposes of providing account services, data analysis and research, conducting our business, and any other purposes other than those restricted by law or by exercise of your option to withhold consent.
- You agree that materials sent to any fax number or electronic address you have provided to us will be considered to have been adequately delivered to you, and you agree that we may send you communications via these means unless and until we receive written notice from you withdrawing consent for same.
- You agree that if you send subscription proceeds for a share class in a currency other than the currency of the relevant share class with a request to make an appropriate currency conversion, this will be done at your own risk and expense. Similarly, where you send a redemption request and ask that the redemption proceeds be paid other than in the currency of that share class, the cost and risk of converting will be borne by you.
- You understand that you may lose money, and that the value of your investment is reduced on an ongoing basis by the deduction of operating fees.
- You understand that if at any time after a redemption of shares (including in connection with any complete redemption of shares by you) the Directors determine that the amount paid to you pursuant to such redemption request was incorrect (including because the net asset value at which you redeemed such shares was incorrect), the Directors may in their sole discretion, seek payment from you (and you shall be liable to immediately repay) the amount of any excess payment that the Directors determine you received, in each case without interest.
- You understand that certain fees and expenses for certain sub-funds may be charged to the capital of the sub-fund. **Thus, on redemptions of holdings you may not receive back the full amount invested.** You also understand that dividends for certain sub-funds may be paid out of capital in certain sub-funds. **As a result capital will be eroded and distributions will be achieved by foregoing the potential for future capital growth and this cycle may continue until all capital is depleted.**
- You shall provide us with any additional information which we may reasonably request in connection with tax or other similar requirements in order to verify any representations made by you and you authorise us to disclose such information to such persons as we consider appropriate.
- You understand and agree that any redemption proceeds paid to you will only be paid to a bank account in your name and with a recognised financial institution.

5. Representations, Signature(s) and Date *continued*

- You agree to indemnify us and hold us harmless from and against any and all losses, liabilities, damages, and expenses (including legal fees and expenses) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set out in this application or in any document delivered by you to the ICAV.
- You agree that neither the ICAV, the Manager nor any investment manager shall be liable to you (or to any other persons) for any error of judgment in the selection of the relevant sub-fund's investments.
- You represent that the monies being invested are coming from an account in your name and that none of the monies being invested in this account, now or in the future, derive directly or indirectly from criminal activity or are part of any money-laundering activity and the investment is not designated to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- You indemnify us from any costs or any damages resulting from our acceptance and proper execution of orders on this account that we believe are genuine, or from any misrepresentation you make on this form.
- You agree that in order to allow the ICAV comply with the requirements of Irish law, including but not limited to the requirements of the Agreement between the Government of Ireland and the Government of the United States of America to improve International Tax Compliance and to implement the Foreign Account Tax Compliance Act and any current or future regulations or laws entered into in connection with the implementation thereof ("**FATCA**") or the OECD standard for automatic exchange of financial account information ("**CRS**") you will
 - provide the ICAV, the Manager, the Depositary, the Administrator, the Investment Manager and the distributor or any of its delegates with any information, declarations certificates or documentation necessary for Irish legal purposes or FATCA or CRS purposes, including but not limited to completing the self-certification sections in this document;
 - permit the ICAV to compel or effect the sale of your shares or repurchase and cancel your shares if you fail to comply with the foregoing requirement.
- For so long as you hold shares in the ICAV, you agree to provide all necessary details, information, documents and co-operation requested by the ICAV or its duly authorised delegates in order to determine beneficial ownership as defined in the Beneficial Ownership Regulations.
- If at any time during the period you hold any shares in the ICAV you become aware that you are a "beneficial owner" of the ICAV as that term is defined in the Beneficial Ownership Regulations you acknowledge and agree to the following:
 - (a) to provide such information as may be required by the ICAV and (b) if the ICAV or its duly appointed delegate has not contacted you within a month of your acquiring the status of a Beneficial Owner, provide the information required in Part 2 of Section 2 of this form within the following month, as well as (to the best of your knowledge) the date on which you became a Beneficial Owner (as required under Regulation 11 of the Beneficial Ownership Regulations);
 - where you become aware that (a) a Relevant Change (as defined in Part 2 of Section 2) has occurred and (b) the ICAV or its duly appointed delegate has not contacted you for information on the Relevant Change within a month of its occurrence, you agree to notify the ICAV or its duly appointed delegate of the Relevant Change, the date of its occurrence and any other necessary information within either (i) two months of the Relevant Change or (ii) one month of becoming aware of facts from which you could reasonably conclude that a Relevant Change has occurred (whichever is later)(as required under Regulation 12 of the Beneficial Ownership Regulations).
 - You acknowledge that under Regulations 11 and 12 of the Beneficial Ownership Regulations (outlined above) it is a criminal offence under Irish law (punishable by a fine of up to €5,000) if, being aware of your status as a Beneficial Owner, you (i) fail to take the steps above where the ICAV has not contacted you for information within the relevant timeframes, or (ii) in purporting to do so, make a statement that is false in a material particular, knowing it to be false or being reckless as to whether it is so false.
- You agree to notify us immediately of any changes in the information provided in this application including all attachments.
- You understand that the confirmations, representations, declarations and warranties made herein are continuous and apply to all subsequent purchases of shares in the ICAV.

Owner/Authorised Signer

Name (in BLOCK LETTERS)	Title						
Email							
Telephone	Date <table border="1"> <tr> <td>D</td> <td>D</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> </tr> </table>	D	D	M	M	Y	Y
D	D	M	M	Y	Y		
Signature							

Joint Owner/Additional Authorised Signer (if any)

Name (in BLOCK LETTERS)	Title						
Email							
Telephone	Date <table border="1"> <tr> <td>D</td> <td>D</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> </tr> </table>	D	D	M	M	Y	Y
D	D	M	M	Y	Y		
Signature							

6. Intermediary/Nominee Certifications

Required if beneficial owner is not account owner

By signing below, the signer certifies that all of the following are true:

- the intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with the anti-money laundering regulations of Ireland or, if they are at least equivalent, of the jurisdiction of sale
- the intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account
- the intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described, and agrees to provide documentation on all of these parties that is satisfactory to us upon request
- the intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment
- the intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the intermediary makes on this form
- the intermediary agrees to notify us immediately should its relationship to investor end
- the intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has done so
- the signer is authorised to make all of these representations on behalf of the intermediary

Authorised signer name (in BLOCK LETTERS)	Title						
Signature	Date <table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y
D	D	M	M	Y	Y		

7. Guide to completing your application

1. Review the form and verify that it is complete, signed, and dated.
2. Make sure all necessary forms, signatures and additional documents (in particular the required verification of identity documents referred to below) are included.

Copies of entity documents must be certified as being a true copy by a company secretary, solicitor, notary public or legal advisor. Copies of individual ID documents must be certified by an accountant, notary public, solicitor, embassy/consul staff, financial Intermediary or police authority in an EU member state or other Prescribed Country. Note that we may impose additional requirements depending on your status and location.

All applicants

- Application form
- Signatures of all owners
- Photo ID or current passport
- A recent utility bill (dated within the last six months)
- A recent bank statement or a recent bill for a second utility (dated within the last six months)
- For applicants that are resident in an EU Member State only: Original document containing your Tax Identification Number or, if not available, an identity document containing details of your place and date of birth.

Entity accounts — all types

- Articles of incorporation or association, trust deed, charter, partnership agreement, extract of the Commercial Register, or other constitutional document, as well as any certificate evidencing a change of name
- Documentation of the individual identities of at least two authorised signers, to the same extent as would be required if they were individual investors; at least one signer must be a director, partner, trustee, or other senior level individual
- Register of directors, trustees, governors, or other individuals with supervisory control
- Names and specimen signatures of all authorised signers for the account, on entity letterhead
- Validation of authority of the authorised signers(s) to open and manage the account
- For private companies, a list of shareholders, including, for each 25% ownership/control individual, their name, address, date of birth and occupation
- For beneficial owners that are entities:
 - a list of shareholders
 - the name, address, date of birth and occupation of each shareholder with at least 25% ownership or control of the entity
 - for any such shareholder that is itself an entity, the name, address, date of birth and occupation of the individual(s) having at least 25% ownership or control of the shareholder entity

7. Guide to completing your application continued

Intermediaries

- Complete “Know Your Customer” documentation of the third party
- Evidence of regulated status and confirmation of compliance with identification requirements to those set by Irish legislation
- For beneficial owners who are individuals, all documentation that would be required if they were investing directly
- For beneficial owners that are entities:
 - a list of shareholders
 - the name, address, date of birth and occupation of each shareholder with at least 25% ownership or control of the entity
 - for any such shareholder that is itself an entity, the name, address, date of birth and occupation of the individual(s) having at least 25% ownership or control of the shareholder entity

3. Submit completed application and attachments by fax [or electronic means] to the [number/e-mail address] below.

Fax 00 353 16224621 **Email Address** quilterICAVTA@citi.com

4. Mail original application and attachments as a follow-up.

Quilter Investors Limited
C/O Citibank Europe Plc
1 North Quay
Dublin1
Ireland

5. Contact the Investment Directors with any queries: details below:

00 44 (0)207 167 3700

6. Website where the KIID is maintained:

www.quilterinvestors.com

Appendix

1. Revenue declarations

(Please complete only one of the declarations below i.e. either on own behalf or as an intermediary.)
Where the ICAV is marketing exclusively outside Ireland:

Please note one of the below declarations must be completed in all cases

DECLARATION ON OWN BEHALF

I/we* declare that I am/we are* applying for the Shares on my own/our own behalf/on behalf of a company* and that I am/we are/the company* is entitled to the Shares in respect of which this declaration is made and that

- I am/we are/the company is* not currently Resident or Ordinarily Resident in Ireland, and
- should I/we/the company* become Resident in Ireland I will/we will* so inform you, in writing, accordingly.

DECLARATION AS INTERMEDIARY

I/we* declare that I am/we are* applying for Shares on behalf of persons:

- who will be beneficially entitled to the Shares; and,
- who, to the best of my/our* knowledge and belief, are neither Resident nor Ordinarily Resident in Ireland.

I/we* also declare that:

- unless I/we* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us* from the date of this application will be made on behalf of such persons; and,
- I/we* will inform you in writing if I/we* become aware that any person, on whose behalf I/we* holds Shares, becomes Resident in Ireland.

*Delete as appropriate

Name and address of applicant	
	City
Country	Postcode

Signature of applicant or authorised signatory:		(declarant)	Capacity of authorised signatory (if applicable)			
Date	D	D	M	M	Y	Y

Joint applicants

Names	Signature
Names	Signature
Names	Signature

Notes to assist in completion

1. Non-Irish resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. If the Applicant is an exempt Irish investor it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.
5. "Intermediary" means a person who:
carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons, or
hold units in an investment undertaking on behalf of other persons.
6. Individual
An individual will be regarded as being resident in Ireland for a tax year if s/he:
(a) spends 183 days or more in the State in that tax year; or
(b) has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding year
Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Presence in the State for a day means the personal presence of an individual at any point in time during that day.
7. Ordinary Residence - Individual
The term "ordinary residence" as distinct from "residence" relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity.
An individual who has been resident in the State for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.
An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who was resident and ordinarily resident in the State in 2015 and departed from the State in that tax year will remain ordinarily resident up to the end of the tax year in 2018.
8. Residence - Company
A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country. In certain limited circumstances, companies incorporated in Ireland but managed and controlled outside of a double taxation treaty territory may not be regarded as resident in Ireland.
Specific rules may apply to companies incorporated prior to 1 January 2015. It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Consolidation Act, 1997.
9. The ICAV is regulated in Ireland by the Central Bank of Ireland.
10. Copies of the Prospectus and the most recently published annual and semi-annual reports of the ICAV are freely available from the Administrator.
11. A corporation should affix its common seal and have it countersigned by persons authorised to countersign the seal or otherwise should execute under the hand of a duly authorised official or officials who should state his/their representative capacity. A certified copy (certified by a director or secretary of the company) of the resolution or other authority authorising one or more signatories should be provided with the application form.
12. If any of the details provided by the applicant(s) in this application form change during the lifetime of this investment, please advise the Administrator immediately in writing and in original form, in order to avoid any possible settlement delays at some future date.

Appendix II:

FATCA Self-Certification Form

All terms identified in italics are as defined in the Intergovernmental Agreement Between the Government of Ireland and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA, Section 891E and Section 891G of the Taxes Consolidation Act 1997 (as amended) and the Financial Accounts Reporting (United States of America) Regulations 2014 copies of which are available at <http://www.revenue.ie/en/business/aeoi/index.html>. Additional definitions can also be found at <https://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>.

If any of the information below changes in the future, please ensure that we are advised of these changes promptly.

Entity Self-Certification (if you are not an Entity, please complete the "Individual Self-Certification" section below)

Note: If you are acting as a nominee, agent or intermediary on behalf of another person or entity and you are a Financial Institution for FATCA purposes, you should complete this self-certification in your name. If you are acting as a nominee, agent or intermediary but are NOT a Financial Institution for FATCA purposes, you should complete this self-certification in the name of the beneficial owner on whose behalf you act.

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

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

U.S. TIN:

☐ The Entity is not a Specified U.S. Person (including a U.S. person that is not a Specified U.S. Person) – Please also complete all relevant sections of the FATCA Classification Section below.

FATCA Classification:

Financial Institutions

If you are a Financial Institution, please tick one of the below categories and provide your FATCA Global Intermediary Identification Number (GIIN)

Irish Financial Institution or a Partner Jurisdiction Financial Institution	
Registered Deemed-Compliant Foreign Financial Institution (Registered deemed-compliant FFI)	
Participating Foreign Financial Institution (Participating FFI)	

If you have ticked one of the boxes above, please provide your **Global Intermediary Identification number (GIIN)**

Financial Institution with No GIIN

If you are a Financial Entity but unable to provide a GIIN, please confirm the reason why a GIIN is not available by ticking one of the following boxes to confirm that you are:

A Partner Jurisdiction Financial Institution which has not yet obtained a GIIN	
The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN : Sponsor's Name: Sponsor's GIIN:	
Exempt Beneficial Owner	
Certified Deemed Compliant Foreign Financial Institution (<i>certified deemed-compliant FFI</i>) (including a Financial Institution deemed compliant under Annex II of the Agreement)	
Nonparticipating Foreign Financial Institution	
Excepted Foreign Financial Institution (<i>excepted FFI</i>)	
U.S. person but not a <i>Specified U.S. Person</i>	

Non-Financial Institutions

If you are not a Foreign Financial Institution (FFI), please confirm your FATCA status by ticking the appropriate box below:

Active Non-Financial Foreign Entity (Active NFFE)	
Passive Non-Financial Foreign Entity (Passive NFFE) If you are a <i>Passive NFFE</i> , you must provide details of any Controlling Persons that are U.S. citizens or resident in the U.S. for tax purposes by completing an additional FATCA Self Certification Form for each such Controlling Person.	
Excepted Non-Financial Foreign Entity	

Individual Self-Certification

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

☐ I confirm that [I am] / [the investor is] a U.S. citizen and / or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identification number is as follows and / or I will supply an appropriate U.S. tax form (e.g. W9):

U.S. TIN:

☐ I confirm that [I am not] / [the investor is not] a U.S. citizen or resident in the U.S. for tax purposes

Declaration and Undertaking

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

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

I/We undertake to advise the recipient promptly (and in any event within 90 days) and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature(s)

Signature	Name	Capacity in which declaration is made						
Signature	Name	Capacity in which declaration is made						
Signature	Name	Capacity in which declaration is made						
Date	D	D	M	M	Y	Y	Y	Y

Appendix III:

CRS Self-Certification Form

All terms identified in italics are as defined under the OECD Standard for Automatic Exchange of Financial Account Information commonly known as the Common Reporting Standard ("CRS"), Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and the Returns of Certain Information by Reporting Financial Institutions Regulations 2015. For more information please see <http://www.revenue.ie/en/business/aeoi/index.html> and <http://www.oecd.org/tax/automatic-exchange/>.

If any of the information below changes in the future, please ensure that we are advised of these changes promptly.

Please note, an *entity's* CRS classification may differ from its FATCA classification.

CRS Entity Self-Certification (if you are not an Entity, please complete the "Individual Self-Certification" section below)

Note: If you are acting as a **nominee, agent or intermediary** on behalf of another person or entity and you are a **Financial Institution** for CRS purposes, you should complete this self-certification in your name. If you are acting as a **nominee, agent or intermediary** but are **NOT a Financial Institution** for CRS purposes, you should complete this self-certification in the name of the beneficial owner on whose behalf you act.

Financial Institution under CRS

If you are a *Financial Institution*, please tick one of the below categories and provide your FATCA Global Intermediary Identification Number (GIIN)

I	<i>Financial Institution</i> under CRS (other than II below)	
II	<i>An Investment Entity</i> located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate CRS Individual Self-Certification form for each of your Controlling Persons **)	

Non-Financial Institution under CRS

If you are a *Non-Financial Institution* for CRS purposes, please tick one of the below categories:

I	<i>Active Non-Financial Entity</i> – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation	
II	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank	
III	<i>Active Non-Financial Entity</i> – an International Organisation	
IV	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V	<i>Passive Non-Financial Entity</i> (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	

CRS Self-Certification Form continued

CRS Declaration of Tax Residency (please note that you may choose more than one country)
Please indicate your country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")).

Note: Provision of a TIN is required unless you are tax resident in a Jurisdiction that does not issue a TIN.

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

Country of Tax Residence	TIN

****Controlling Person's:**

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

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

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

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

CRS Individual Self-Certification

CRS Declaration of Tax Residency (please note that you may choose more than one country)
Please indicate your / the investor's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated TIN).

Country of Tax Residence	TIN

Declaration and Undertaking

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

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

I/We undertake to advise the recipient promptly (and in any event within 90 days) and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature(s)

Signature

Name

Capacity in which declaration is made

Signature

Name

Capacity in which declaration is made

Signature

Name

Capacity in which declaration is made

Date

D

D

M

M

Y

Y

Y

Y

Appendix IV:

Privacy Notice

Quilter Investors ICAV (the "Fund")

Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the "Data Protection Legislation").

In this document, "we", "us" and "our" refer to the Fund and its affiliates and delegates.

Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

Your personal data

By virtue of making an investment in the Fund and your associated interactions with us (including the initial application, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

- (i) This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

How we may use your personal data

The Fund, as the data controller, may collect, store and use your personal data for lawful purposes disclosed below:

- (i) to reflect your ownership of shares in the Fund (i.e. where this is necessary for the performance of the contract to purchase shares in the Fund or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);
- (ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or
- (iii) for direct marketing purposes (that is, providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Additionally, Citibank Europe Plc (the "**Administrator**") may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction). Citi Depositary Services Ireland Designated Activity Company (the "**Depositary**") may use your personal data for compliance with its legal obligations as the Fund's depositary (e.g. as part of its oversight of the Administrator). The Administrator and the Depositary, in respect of the foregoing respective specific uses of personal data, each act as a data controller. The Administrator/Depositary's markets and securities privacy statement is available at https://www.citibank.com/icg/global_markets/uk_terms.jsp

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

Why we may transfer your personal data

In certain circumstances we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the Fund with the Irish Revenue Commissioners and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

We anticipate that the following affiliates and delegates will process your personal data on our behalf and this may include certain entities located outside the EEA:

- the Administrator;
 - KBA Consulting Management Limited as Fund's management company;
 - Quilter Investors Limited as the **Distributor**;
- and their respective affiliates and delegates.

The data protection measures we take

Any transfer of personal data by us or any of our duly authorised delegates outside the EEA shall be subject to appropriate safeguards being in place in accordance with the conditions in the Data Protection Legislation. Please contact us if you wish to obtain more information on the appropriate safeguards. See "Getting in touch" below.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

Privacy Notice continued

Your data protection rights

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;
- the right to lodge a complaint with the Data Protection Commission (our lead supervisory authority).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

Our retention of your personal data

We or our duly authorised delegates may retain your personal data for a period of up to seven years following the point where your business/employment relationship with us has ceased or potentially for a longer period where necessary for compliance with a legal obligation or for the establishment, exercise or defence of legal claims. Thereafter, we and our duly authorised delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

Getting in touch

The Fund is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact client services on 00 44 (0)207 1673600.