



Smith & Williamson Daily Funds Application Form

Smith & Williamson Investment Funds Plc



This Application Form should be read in context of and together with the Prospectus & Supplement(s) of Smith & Williamson Investment Funds Plc ("the Company") (collectively the "Prospectus"), the Key Investor Information Document ("KIID") and save where otherwise defined in this Application Form, all capitalised terms shall have the same meaning as in the Prospectus. Neither the Prospectus, the Supplements, the KIID nor this Application Form constitute an offer or solicitation in the United States of America, to anyone who is a US Person or in any other jurisdictions in which such offer or solicitation is not authorised.

ORIGINAL completed Application Forms should be sent by post to the following address: (Subsequent Applications for shares may be faxed to the number below)

SMITH & WILLIAMSON INVESTMENT FUNDS PLC

C/o BNP Paribas Fund Administration Services (Ireland) Limited
2 Grand Canal Plaza
Upper Grand Canal St
Dublin 2
Ireland

Tel: + 353 1 612 6476
Fax: + 353 1 512 5362

1. Account Registration

Please print exactly how the applicant's shareholder account is to be registered - including any account designation.

Registered Shareholder(s)

Designation (if applicable)
Permanent Residential Address
(include postcode and country)

Correspondence Address
(if different)

Tax Identification Number
(if applicable-for retail investors only)

Telephone Number (include country code)

Fax No (include country code)

Email Address

Joint Registered Share Holder
(if applicable)

Registered/ Permanent Address
(include Postcode and country)

Tax Identification Number
(if applicable-for retail investors only)

Telephone Number (include country code)

Fax No (include country code)

Email Address

2. Fund details

I/We the undersigned having received, read and carefully considered a copy of the current Prospectus, the KIID and the most recent annual report of the Company, and having had an opportunity to review the material contracts referred to in the Prospectus hereby apply for such number of Shares at the subscription price calculated in accordance with the Articles in the Fund(s) as may be subscribed for with the amount indicated below:

Name of Fund	ISIN Codes	Minimum Investment allowed per Prospectus	Base Currency	Monetary Amount in Base Currency	Number of Shares
Smith & Williamson Artificial Intelligence Fund Class A*	IE00BK5Z5C60	CHF 1,000	CHF		
Smith & Williamson Artificial Intelligence Fund Class B	IE00BYPF2Z68	£100,000	GBP		
Smith & Williamson Artificial Intelligence Fund Class C	IE00BYPF3199	\$100,000	USD		
Smith & Williamson Artificial Intelligence Fund Class X	IE00BYPF3207	\$10,000,000	USD		
Smith & Williamson Artificial Intelligence Fund Class Z	IE00BYPF3314	£10,000,000	GBP		
Smith & Williamson Cash Fund	IE00B2Q01V59	£1,000	GBP		
Smith & Williamson Mid Ocean World Investment Fund Class A	IE00BKZGHN44	\$1,500	USD		
Smith & Williamson Mid Ocean World Investment Fund Class B	IE00BKZGHP67	£1,000	GBP		
Smith & Williamson Defensive Growth Fund Class A	IE00B0350Q72	£1,000	GBP		
Smith & Williamson Defensive Growth Fund Class B	IE00B7SMSG88	£250,000	GBP		
Smith & Williamson Blairmore Global Equity Fund Class A	IE00BSLVSX63	\$100,000	USD		
Smith & Williamson Blairmore Global Equity Fund Class B	IE00BSLVSY70	\$100,000 (or currency equivalent)	GBP		

*Only Class "A" Shares of the Smith & Williamson Artificial Intelligence Fund are available for offer in or from Switzerland.

Name of Fund	ISIN Codes	Minimum Investment allowed per Prospectus	Base Currency	Monetary Amount in Base Currency	Number of Shares
Smith & Williamson Blairmore Global Equity Fund Class C	IE00BSLVSZ87	\$100,000 (or currency equivalent)	EUR		
Smith & Williamson Short Dated Corporate Bond Fund Class A	IE00B3VFH812	£1,000	GBP		
Smith & Williamson Short Dated Corporate Bond Fund Class B (Income) Shares	IE00B43RH379	£250,000	GBP		
Smith & Williamson Short Dated Corporate Bond Fund Class B (Accumulation) Shares	IE00BD4H8367	£250,000	GBP		
Smith & Williamson Short Dated Corporate Bond Fund Class C	IE00B5N01V91	\$400,000	USD		
Smith & Williamson Short Dated Corporate Bond Fund Class D	IE00B5T84524	€300,000	EUR		
Smith & Williamson Short Dated Corporate Bond Fund Class Z (Income) Shares	IE00BKJ9V606	£5,000,000	GBP		
Smith & Williamson Short Dated Corporate Bond Fund Class Z (Accumulation) Shares	IE00BD4H8474	£5,000,000	GBP		
Smith & Williamson Enterprise Fund A Share Class	IE00B5NKVN18	£100,000	GBP		
Smith & Williamson Enterprise Fund B Share Class	IE00B5N0TY82	\$150,000	USD		
Smith & Williamson Enterprise Fund C Share Class	IE00B5NY4X40	£100,000	GBP		
Smith & Williamson Enterprise Fund D Share Class	IE00B5KRKY97	\$150,000	USD		
Smith & Williamson Enterprise Fund E Share Class	IE00B5M7RP72	£1,000	GBP		
Smith & Williamson Enterprise Fund F Share Class	IE00B3LORQ42	€150,000	EUR		
Smith & Williamson Enterprise Fund Class Y (Income) Shares	IE00BF0XJC87	£5,000,000	GBP		
Smith & Williamson Enterprise Fund Z Share Class	IE00BKJ9V598	£50,000,000	GBP		

Name of Fund	ISIN Codes	Minimum Investment allowed per Prospectus	Base Currency	Monetary Amount in Base Currency	Number of Shares
Smith & Williamson Global Inflation Linked Bond Fund Class C (Income) Shares	IE00BFF9NK71	\$20,000,000	USD		
Smith & Williamson Global Inflation Linked Bond Fund Class D (Income) Shares	IE00BG12NV88	€20,000,000	EUR		
Smith & Williamson Global Inflation Linked Bond Fund Class Z (Income) Shares	IE00B7TZSS88	£1,000	GBP		
Smith & Williamson Global Inflation Linked Bond Fund Class Z (Accumulation) Shares	IE00B81VK961	£1,000	GBP		
Smith & Williamson Global Inflation Linked Bond Fund Class X (Income) Shares	IE00B7VQTF30	£20,000,000	GBP		
Smith & Williamson Global Inflation Linked Bond Fund Class X (Accumulation) Shares	IE00B7RG6563	£20,000,000	GBP		
Smith & Williamson Medium Dated Corporate Bond Fund Class A Shares	IE00B870L722	£1,000	GBP		
Smith & Williamson Medium Dated Corporate Bond Fund Class B Shares	IE00B7TGZ916	£250,000	GBP		

Kindly refer to the prospectus re additional investment requirements.

Dividend Option **Applicable to Distribution Shareclasses only**

For distribution share-classes and where the sub-fund has declared a dividend, all dividends will be paid as cash unless advised otherwise.

Please tick here should you wish for the dividend to be reinvested by way of additional shares.

3. Bank Details

Subscriptions should be lodged in base currency by electronic transfer in the following account:

GBP Bank Account Details:

Bank: BNP Paribas Luxembourg
SWIFT: PARBLULL
Bank Account Name: Smith & Williamson Investment Funds PLC Collection Account
IBAN: LU26 3280322522B00826
Intermediary Swift: BNPAGB22XXX
Sort Code: 40-63-84
Intermediary Bank Account: GB13BNPA40638485678016

EUR Bank Account Details:

Bank: BNP Paribas Luxembourg
SWIFT: PARBLULL
Bank Account Name: BPSS DUBLIN/SMITH AND WILLIAMSON/COLLECTION ACCOUNT
IBAN: LU93 3280322522B00978
Intermediary Bank: BNP Paribas Paris
Swift: PARBFRPP

USD Bank Account Details:

Bank: BNP Paribas Luxembourg
SWIFT: PARBLULL
Bank Account Name: BPSS DUBLIN/SMITH AND WILLIAMSON/COLLECTION ACCOUNT
IBAN: LU36 3280322522B00840
Intermediary Bank: BNP Paribas New York
Swift: BNPAUS3N

CHF Bank Account Details:

Bank: BNP Paribas Luxembourg
SWIFT: PARBLULL
Bank Account Name: Smith & Williamson Investment Funds PLC Collection Account
IBAN: LU733280322522B00756
Intermediary Bank: BP2S Zurich
Swift: PARBCHZZ

Please supply bank or building society account details in the section below for redemption payments.

Bank/Building Society:	_____	Account Name:	_____
SWIFT/ Sort Code:	_____	Account Number:	_____
Account Currency:	_____	Correspondent/Pay Through Bank:	_____
Address:	_____	Address:	_____
Post code:	_____	SWIFT/Sort Code:	_____

4. Declaration of Residence outside the Republic of Ireland

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares. Terms used in this declaration are defined in the Prospectus.

<p>Declaration on own behalf</p> <p>I/We* declare that I am/we are* applying for the shares/ Units* on my/our own behalf/on behalf of a company* and that I am/we are/the company* is entitled to the shares/units* in respect of which this declaration is made and that</p> <ul style="list-style-type: none"> • I am/we are/the company is* not currently resident or • ordinarily resident in Ireland, and • Should I/we/the company * become resident in Ireland I/we* will so inform you, in writing, accordingly. <p>*Delete as appropriate</p>	<p>Declaration as Intermediary</p> <p>I/We* declare that I am/we are* applying for shares/units* on behalf of persons:</p> <ul style="list-style-type: none"> • who will be beneficially entitled to the shares/units; and • who, to the best of my/our* knowledge and belief, are neither resident nor ordinarily resident in Ireland. <p>I/we* also declare that:</p> <ul style="list-style-type: none"> • unless I/we* specifically notify you to the contrary at the time of application, all applications for shares/units* 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* hold shares/units*, becomes resident in Ireland. <p>*Delete as appropriate</p>
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Name and Address of Applicant _____

Signature of applicant or authorised signatory (all applicants must sign) _____ (Declarant)

Capacity of authorised signatory (if applicable) _____

Date: _____

Joint Applicants

Name: _____

Signature: _____

Date: _____

Name: _____

Signature: _____

Date: _____

5. Source of Wealth

Please indicate the source of wealth to be invested with the Fund. The Administrator reserves the right to request documentary proof, e.g. income statement, balance sheet, bank statement.

<input type="checkbox"/> Compensation Payment	<input type="checkbox"/> Salary or Bonus	<input type="checkbox"/> Profit from Sale of Property
<input type="checkbox"/> Investment Income (e.g. interest, dividends)	<input type="checkbox"/> Loan	<input type="checkbox"/> Gift (please specify below)
<input type="checkbox"/> Maturity of Insurance Policy or Fixed Term Investment	<input type="checkbox"/> Pension/Retirement Income	<input type="checkbox"/> Savings (please specify below)
<input type="checkbox"/> Sale of Business	<input type="checkbox"/> Profit from Sale of Investment	<input type="checkbox"/> Other (please specify below)
	<input type="checkbox"/> Inheritance/Distribution from Trust	
Where indicated, please specify in more detail:		

6. Declarations/Representation and Warranties

I/We hereby represent and warrant to the Fund (for itself and on behalf of all shareholders in the Fund) that I/we am not a US person as defined in the Prospectus and that I/we are not acting on behalf of or for the benefit of nor do I/we intend transferring any shares in the Fund which I/we purchase to any US person. The Subscription Form was executed and forwarded by us from the address set out as Shareholder Address below, which is outside of the US and we were not in the US either at the time that the shares in the Fund were offered to us or at the time such offer was accepted.

I/We acknowledge that due to money laundering requirements operating within their respective jurisdictions the Administrator, the Investment Advisor and the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, the Investment Advisor and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been required by the parties referred to and has not been provided by me/us.

I/We hereby agree to indemnify and keep indemnified the Fund against any loss arising to it as a result of any breach of any representation, warranty, covenant or confirmation by me/us in the Application Form or from my/our failure to disclose any relevant details or provide it with all information requested by it or by the Administrator on its behalf.

In the case of delay or failure to provide satisfactory information, each of the Fund and the Administrator may take such action (including declining to accept an application) as they think fit.

I/We am/are fully empowered and have the authority to make this investment whether the investment is my/our own or is made on behalf of another person or institution.

I/We confirm that I/we have the right and authority to request redemption or repurchase of Shares and confirm that I/we will comply with the redemption and repurchase procedures set out in the Prospectus. All

redemption or repurchase instructions must be given in writing and must be accompanied by an endorsed Share Certificate if such has been issued, or failing which, the appropriate account number must be quoted.

I/We confirm that I am/we are 18 years of age or over.

I/We agree to provide these confirmations to the Fund at such times as the Fund may request, and to provide on request such certifications, documents or other evidence as the Fund may reasonably require to substantiate such representations.

I/We agree to notify the Fund immediately if I/we become aware that any of the confirmations is no longer accurate and complete in all respects and agree immediately either to sell or to tender to the Fund for redemption a sufficient number of Shares to allow the confirmation to be made.

I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application/transfer may be accepted.

I/We having received and considered a copy of the Prospectus and the KIID hereby confirm that this application is based solely on the Prospectus and the KIID for the Fund current at the date of this application and the material contracts therein referred together (where applicable) with the most recent annual report and accounts of the Fund and half yearly report and accounts and the memorandum and articles of association of the Fund and I/we acknowledge that all of the above documents (save for the KIID) are available for review following a request to the Administrator.

I/We warrant that (i) I/we have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Fund; (ii) I/we are aware of the risks inherent in investing in the Fund and the investment policies of the Fund and the method by which the assets of the Fund are held and/or traded (iii) I/we can bear the risk of loss of the entire investment.

Pursuant to the UCITS directive, I/we acknowledge that the Company is required to provide me/us with access to the relevant KIID prior to investment. I/we hereby acknowledge and understand that the KIID is not a financial promotion. I/we hereby acknowledge and understand that the information is required by law to help me/us understand the nature and risks of investing in the relevant fund. I/we hereby accept that updates to the Prospectus, the relevant Supplement the annual report and accounts and half yearly report and accounts and the KIID can be provided by email and/or are available on the company website www.sandwfunds.com and I/we agree to access these documents either by requesting them from the fund administrator or by accessing the company website www.sandwfunds.com where they may be found under the heading 'literature' for each fund listed under 'Smith & Williamson Funds'.

I/we have reviewed the Prospectus, KIID and Articles of Association (as amended from time to time) of the Fund and apply to be entered in the Register of Shareholders as the holder/holders of the Shares issued in relation to this application.

I/We hereby confirm that for any subsequent investments I/we will obtain and read the latest version of the appropriate KIID prior to each subscription.

In the event that I/we am/are acquiring shares on behalf of an underlying investor or pool of investors, I/we hereby confirm that I/we have provided each investor with a copy of the latest KIID and on an ongoing basis I/we will ensure that these and any new investor(s) will be provided with the current KIID for the relevant share class into which I/we am/are investing on their behalf.

I/We request that the Shares issued pursuant to this application are registered in the name and address set out below.

I/We acknowledge and agree that the Company reserves the right to cancel without notice any contract for which payment has not been received by the relevant settlement date. In addition, I/We acknowledge and agree that, in the place of the right to cancel, the Company may charge me/us for any loss, damages, charges, interest or other costs of whatever nature suffered or incurred by the Company where payment has not been received or cleared by the relevant settlement date. In addition, I/We acknowledge and agree that the Company reserves the right to sell or redeem all or part of my/our holding of Shares in order to meet those losses, damages, charges, interest or other costs of whatever nature.

In respect of Joint applicants only-We direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor of such survivor or survivors.

FAX & ELECTRONIC DEALING INDEMNITY

Only once an investor has completed and submitted an application form may they use the facsimile and/or electronic dealing facility (including SWIFT) to place subsequent purchase and/or redemption orders.

I/We understand that if I/we choose to give deal instructions by fax or by electronic means I/we do so at our own risk. I/We understand that neither the Fund nor any of its agents (including the Investment Manager and the Administrator) shall be under any obligation to verify the authenticity of any deal instructions sent by fax/electronic means. I/We hereby indemnify the Fund and its agents (including the Investment Manager and the Administrator), against all losses, costs, demands, expenses, actions, proceedings and claims incurred by any such persons or entities as a result of acting on such fax/electronic instructions which they reasonably believed to be a valid instruction. I/We understand that all instructions to change our registered information must be submitted in writing. This includes change of address and/or payment instructions.

- If you do not consent to facsimile or electronic dealing please tick this box.

DATA PROTECTION

Please read this privacy statement carefully to understand our use of your Personal Data.

Your right to object – Please note that you have a right to object to the processing of your Personal Data where that processing is carried out for our legitimate interests.

In this section the following terms have the following meaning:

Data Protection Legislation means the EU Data Protection Directive 95/46/EC and the EU Privacy & Electronic Communications Directive 2002/58/EC, any amendments and replacement legislation including the EU General Data Protection Regulation (EU) 2016/679, European Commission decisions, binding EU and national guidance and all national implementing legislation.

GDPR means Regulation (EU) 2016/679 known as the General Data Protection Regulation, which comes into force on 25 May 2018.

Personal Data means any data relating to a living individual who can be identified directly from that data or indirectly in conjunction with other information.

The Company may hold some or all of the following types of Personal Data in relation to investors and prospective investors (and their officers, employees and beneficial owners); name, address/other contact details (telephone, email address), date/place of birth, gender, tax number, bank details, photographic ID, proofs of address (usually utility bills) as furnished by investors when completing this Application Form or to keep that information up to date. The Company may also obtain further Personal Data on those individuals by way of PEP (Politically Exposed Person) checks, sanctions checks, negative news checks and screening checks. The Company is obliged to verify the Personal Data and carry out ongoing monitoring. Where existing and prospective investors have furnished Personal Data in respect of their officers, employees and beneficial owners to the Company, those investors must furnish the information in this section on data protection to them.

In the course of business, the Company will collect, record, store, adapt, transfer and otherwise process Personal Data. The Company is a data controller within the meaning of Data Protection Legislation and will hold any Personal Data provided by or in respect of investors in accordance with Data Protection Legislation.

The Company and/or any of its delegates or service providers (the Administrator, the Depositary, the Investment Manager and other service providers referred to in the Prospectus or any Supplement or other fund document) may process prospective investor's and investor's Personal Data (including recording calls) for any one or more of the following purposes and on the following legal bases:

- to operate the Company, including managing and administering a Shareholder's investment in the Company on an on-going basis which enables the Company to satisfy its contractual duties and obligations to the Holder and any processing necessary for the preparation of the contract with the Shareholder);
- to comply with any applicable legal, tax or regulatory obligations on the Company, for example, under the Companies Act and anti-money laundering and counter-terrorism and tax legislation and fraud prevention;

- for any other legitimate business interests' of the Company or a third party to whom Personal Data is disclosed, where such interests are not overridden by the interests of the investor, including for statistical analysis, market research purposes and to perform financial and/or regulatory reporting; or
- for any other specific purposes where investors have given their specific consent and where processing of Personal Data is based on consent, the investors will have the right to withdraw it at anytime.

The Company and/or any of its delegates or service providers may disclose or transfer Personal Data, whether in Ireland or elsewhere (including entities situated in countries outside of the EEA), to other delegates, duly appointed agents and service providers of the Company (and any of their respective related, associated or affiliated companies or sub-delegates) and to third parties including advisers, regulatory bodies, taxation authorities, auditors, technology providers for the purposes specified above.

The Company will not keep Personal Data for longer than is necessary for the purpose(s) for which it was collected. In determining appropriate retention periods, the Company shall have regard to the Statute of Limitations Act 1957, as amended, and any statutory obligations to retain information, including anti-money laundering, counter-terrorism, tax legislation. The Company will take all reasonable steps to destroy or erase the data from its systems when they are no longer required.

Where specific processing is based on an investor's consent, that investor has the right to withdraw it at any time. Investors have the right to request access to their Personal Data kept by Company; and the right to rectification or erasure of their data; to restrict or object to processing of their data, and to data portability, subject to any restrictions imposed by Data Protection Legislation and any statutory obligations to retain information including anti-money laundering, counter-terrorism, tax legislation

The Company and/or any of its delegates and service providers will not transfer Personal Data to a country outside of the EEA unless that country ensures an adequate level of data protection or appropriate safeguards are in place. The European Commission has prepared a list of countries that are deemed to provide an adequate level of data protection which, to date, includes Switzerland, Guernsey, Argentina, the Isle of Man, Faroe Islands, Jersey, Andorra, Israel, New Zealand and Uruguay. Further countries may be added to this list by the European Commission at any time. The US is also deemed to provide an adequate level of protection where the US recipient of the data is privacy shield-certified. If a third country does not provide an adequate level of data protection, then the Company and/or any of its delegates and service providers will ensure it puts in place appropriate safeguards such as the model clauses (which are standardised contractual clauses, approved by the European Commission) or binding corporate rules, or relies on one of the derogations provided for in Data Protection Legislation. As at the date of this document such countries outside of the EEA (that are not deemed to provide an adequate level of investor protection) to which data may be transferred is India. This list may change from time to time and any change will be made available via SWIMIreland@smithandwilliamson.com.

Where processing is carried out on behalf of the Company, the Company shall engage a data processor, within the meaning of Data Protection Legislation, which implements appropriate technical and organisational security measures in a manner that such processing meets the requirements of Data Protection Legislation, and ensures the protection of the rights of investors. The Company will enter into a written contract with the data processor which will set out the data processor's specific mandatory obligations laid down in Data Protection Legislation, including to process Personal Data only in accordance with the documented instructions from the Company.

As part of the Company's business and ongoing monitoring, the Company may from time to time carry out automated decision-making in relation to investors, including, for example, profiling of investors in the context of anti-money laundering reviews, and this may result in an investor being identified to the revenue authorities, law enforcement authorities and to other entities where required by law, and the Company terminating its relationship with the investor.

Investors are required to provide their Personal Data for statutory and contractual purposes. Failure to provide the required Personal Data will result in the Company being unable to permit, process, or release the investor's investment in the Funds and this may result in the Company terminating its relationship with the investor. Investors have a right to lodge a complaint with the Data Protection Authority if they are unhappy with how the Company is handling their Personal Data.

Any questions about the operation of the Company's data protection policy should be referred in the first instance to SWIMIreland@smithandwilliamson.com.

I have read and understand the Data Protection Notice above and I understand that I may withdraw my consent at any time.

7. Foreign Account Tax Compliance Act (entity)

Tax Laws¹ require us to collect certain information about each organisation's tax residency and tax classification. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged where required by law or regulation to share information on your account with the relevant tax authorities.

¹The term 'Tax Laws' refers to regulations created to enable automated exchange of information, and includes, without limitation, FATCA (The Foreign Account Tax Compliance provisions, contained in the US Hire Act 2010) and also OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis.)

If you have any questions about your organisation's tax classification, please contact your tax advisor.

For further information on FATCA please refer to the Irish Revenue website at <http://www.revenue.ie> or at <http://www.revenue.ie/en/business/international/agreement-ireland-usa-compliance-fatca.pdf>.

For further information on CRS please refer to the OECD automatic exchange of information portal <http://www.oecd.org/tax/automatic-exchange/>

If any of the information below regarding the Entities's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly/within 30 days.

Entities that are individuals should not complete this section and should complete the section entitled "Foreign Account Tax Compliance Act (individual)".

(Mandatory fields are marked with an *)

7.1 Entity Identification

Entity name*	_____
Country of Incorporation or Organisation*:	_____
Fund	_____
Registered address*	_____

Number	_____
Street	_____
City, town, State, Province or Country	_____
Postal/ZIP code	_____
Country	_____
Mailing address (if different from above)	_____

Number	_____
Street	_____
City, town, State, Province or Country	_____
Postal/ZIP code	_____
Country	_____

7.2 FATCA Declaration Specified U.S. Person:

Please complete either (a) or (b) below as appropriate.

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

U.S. TIN: _____

- b. The Entity is **not** a Specified U.S. Person (please also complete sections 7.3, 7.4 and 7.5)

7.3 Entity's FATCA Classification* (the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in section 7.5):

7.3.1 Financial Institutions under FATCA:

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 7.3.2

- i. Irish Financial Institution or a Partner Jurisdiction Financial Institution
- ii. Registered Deemed Compliant Foreign Financial Institution
- iii. Participating Foreign Financial Institution

7.3.2 Entity GIIN

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

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

- i. Partner Jurisdiction Financial Institution and has not yet obtained a GIIN
- ii. 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:

- iii. Exempt Beneficial Owner
- iv. Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
- v. Non-Participating Foreign Financial Institution
- vi. Excepted Foreign Financial Institution
- vii. U.S. person but not a Specified U.S. person

7.3.4 Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please tick one of the below categories

- i. Active Non-Financial Foreign Entity
- ii. Passive Non-Financial Foreign Entity (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons)
- iii. Excepted Non-Financial Foreign Entity
- iv. The Entity is a U.S. person but not a Specified U.S. person

7.4 CRS Declaration of Tax Residency*

Please indicate the Entity's place 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).

Country of Tax Residency	Tax ID Number

7.5 Entity's CRS Classification*(the information provided in this section is for CRS, please note your CRS classification may differ from your FATCA classification in section 7.3):

- i. Financial Institution under CRS
- ii. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons)
- iii. Active Non-Financial Entity - 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
- iv. Active Non-Financial Entity - a Government Entity or Central Bank
- v. Active Non-Financial Entity - an International Organisation
- vi. Active Non-Financial Entity - other than (c)-(e) (for example a start-up NFE or a non-profit NFE)
- vii. Passive Non-Financial Entity (If this box is ticked, please include individual self-certification forms for each of your Controlling Persons)

NB: Please note that each Controlling Persons must complete an individual self-certification form

7.6 Declarations and Undertakings

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

I/We undertake to advise the recipient promptly/within 30 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)*:

Print Name(s)*:

Capacity in which declaration is made*:

Date (dd/mm/yyyy)*:

8. Foreign Account Tax Compliance Act (individual)

Tax Laws¹ require us to collect certain information about each individual's tax residency and tax classification. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged where required by law or regulation to share information on your account with the relevant tax authorities.

¹The term 'Tax Laws' refers to regulations created to enable automated exchange of information, and includes, without limitation, FATCA (The Foreign Account Tax Compliance provisions, contained in the US Hire Act 2010) and also OECD Common Reporting Standard ("CRS"), an initiative to implement automatic exchange of financial account information on a global basis.)

If you have any questions about your organisation's tax classification, please contact your tax advisor.

For further information on FATCA please refer to the Irish Revenue website at <http://www.revenue.ie> or at <http://www.revenue.ie/en/business/international/agreement-ireland-usa-compliance-fatca.pdf> .

For further information on CRS please refer to the OECD automatic exchange of information portal <http://www.oecd.org/tax/automatic-exchange/>

If any of the information below about the Investor's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly / within 30 days.

Please note for Joint or multiple Controlling person's please use a separate form for each Controlling person.

(Mandatory fields are marked with an *)

8.1 Individual self-certification

Name*	_____
Entity name (where the individual is a controlling person)	_____
Registered address*	_____

Number	_____
Street	_____
City, town, State, Province or Country	_____
Postal/ZIP code	_____
Country	_____
Mailing address (if different from above)	_____

Number	_____
Street	_____
City, town, State, Province or Country	_____
Postal/ZIP code	_____
Country	_____
Place of birth*	_____
Town or City of birth*	_____
Country of birth*	_____
Date of birth*	_____

8.2 FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes*:

Please tick either (a) or (b) below as appropriate.

- c. I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number

(U.S. TIN) is as follows: _____

OR

- d. I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

8.3 CRS Declaration of Tax Residency (please note you may chose more than one country)*

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

Country of Tax Residency	Tax ID Number

8.4 Type of Controlling Person

(ONLY to be completed by any individual who is a Controlling Person of an entity which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling person's please use a separate form for each Controlling person.

Please provide the Controlling Person's Status by ticking the appropriate box.	Please tick	Entity name
Controlling Person of a legal person - control by ownership		
Controlling Person of a legal person - control by other means		
Controlling Person of a legal person - senior managing official		
Controlling Person of a trust - settlor		
Controlling Person of a trust - trustee		
Controlling Person of a trust - protector		
Controlling Person of a trust - beneficiary		
Controlling Person of a trust - other		
Controlling Person of a legal arrangement (non-trust) - settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) - trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) - protector-equivalent		
Controlling Person of a legal arrangement (non-trust) - beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) - other-equivalent		

8.5 Declarations and Undertakings

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

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

Authorised Signature*:

Print Name*:

Capacity*:

Date (dd/mm/yyyy)*:
