

## NORTHERN TRUST GLOBAL FUNDS PLC | APPENDIX I

## ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS

Northern Trust Global Funds plc  
 Anti-Money Laundering Verification Requirements in accordance with  
 The Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 and 2013, and EU Savings Directive  
 Requirements for EU Resident Individuals outside of Ireland  
 (In accordance with the Directive 2003/48/EC (the "Directive"))

## Guide to completing this form

- **Part I** This section must be completed by **All** applicants and transferees
- **Part II** This section can only be completed by **banks, providers of financial services and nominee companies** acting on their own account and if authorised and regulated in Australia, Austria, Belgium, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom or the USA
- **Part III** This section is only applicable to individual & joint account investors investing directly into the Fund, i.e. not through an intermediary
- **Part IV** This section can only be completed by intermediaries, agents and nominees acting on behalf of third parties
- **Part V** This section is applicable to other Investors investing directly into the fund

## PART I - ALL

Full name(s) and full current permanent address/registered office of applicants(s)/transferee(s):

Mr/Mrs/Miss/Ms/Company Name

Address/Registered Office

Date of Birth (if applicable)

Country of Birth/Registration

**DECLARATION - I/We declare that the information contained in this form and the attached documentation, if any, is true and accurate to the best of my/our knowledge and belief.**

Signature 1

Signatory Capacity if applicable (i.e Director/Manager)

Signature 2

Signatory Capacity if applicable (i.e Director/Manager)

Signature 3

Signatory Capacity if applicable (i.e Director/Manager)

Signature 4

Signatory Capacity if applicable (i.e Director/Manager)

Date

**In the case of joint holders, ALL holders must complete this declaration.**

## PART II – FINANCIAL COMPANY, BANK, NOMINEE ETC

**Please tick the following box, if appropriate:**

I/We are a bank/provider of financial services or a nominee company/nominee account which is part of/used by a bank/provider of financial services authorised and regulated in Australia, Austria, Belgium, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom or the USA, acting for our own account.

Yes

If answer is Yes, please supply the name of regulated entity and also the name of your regulator



If you are acting on behalf of a third party you must complete part IV

### PART III - Individuals and Joint Holders

If you, as applicant(s) or transferee(s) is/are an Individual(s) please supply the following documents. In the case of joint account holders, please supply the relevant documentation in respect of all holders.

1. A copy photographic identity document and two copies of non-photographic identity document.

Note: The Company or the Administrator may require further documentation to be provided upon written request.

### PART IV - To be completed by Financial Agents, Nominees and Intermediaries

As an intermediary/agent/nominee company authorised and regulated in Australia, Austria, Belgium, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom and the USA, you must provide:

1. Standard reliance letter (Please contact the Administrator to obtain a copy)
2. Relevant Third Party's Authorised Signatory List
3. Proof of regulatory status of Relevant Third Party

### PART V – OTHER INVESTORS

If you, as applicant or transferee, fall under one of the investor categories outlined below please provide documents evidencing the requested information.

#### Listed Company

For a Listed Company in a Prescribed Country Proof of Listing on a recognised stock exchange in a Prescribed Country and Authorised Signatory List. Otherwise see 1- 10 below.

1. Proof of listing.
2. Full name.
3. Registered number.
4. Registered office address.
5. Principal business address.
6. Details of Directors.
7. Proof of identity of two Directors or one Director and one authorised signatory.
8. Identify any beneficial owners who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.  
Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
9. Verification of identity from:
  - Search of the relevant company registry; and/or
  - Copy of Certificate of incorporation or equivalent; and/or
  - Copy of Memorandum and Articles of Association or equivalent; and/or
  - Copy of latest audited financial statements.
10. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

#### Private and Unlisted Company

1. Full name.
2. Registered number.
3. Registered office address.
4. Principal business address.
5. Details of directors.
6. Proof of identity of two directors or one director and one authorised signatory.
7. Identify any beneficial owners who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.  
Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
8. Verification of identity from
  - Search of the relevant company registry; and/or
  - Copy of Certificate of incorporation or equivalent; and/or
  - Copy of Memorandum and Articles of Association or equivalent; and/or
  - Copy of audited financial statements.
9. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Partnership**

1. Full name.
2. Registered office address.
3. Principal business address.
4. Details of all partners (where not a Partnership Fund); or
5. If a Partnership Fund, identify the names of General Partner and partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund and listing of directors, if appropriate. Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
6. Verification of identity of General Partner or two partners or one partner and one authorised signatory.
7. Constitutional Document (e.g. Partnership Agreement).
8. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**LLC**

1. Full name.
2. Registered office address.
3. Principal business address.
4. Details of Managing Members.
5. Verification of identity of two Managing Members or one Managing Member and one authorised signatory.
6. Identify members who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the LLC. Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
7. Constitutional Document (e.g. Certificate of formation).
8. Operating agreement.
9. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Collective Investment Scheme**

1. Full name of CIS.
2. Registered address of CIS.
3. Prospectus or equivalent.
4. Name and address of scheme promoter.
5. Name and address of scheme administrator.
6. Name and address of entity carrying out anti-money laundering checks upon the scheme investors and confirmation that entity is regulated for AML purposes.
7. Identify any investors who own more than 25% of the share capital.
8. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Trust, Foundation or similar entity**

1. Full name of trust.
2. Registered address of trust.
3. Legal form of the trust, foundation or similar entity.
4. Trust deed or equivalent or confirmation of the entity to an appropriate register.
5. Nature / purpose of the Trust etc.
6. Details of all trustees
7. Verification of identity of two trustees or one trustee and one authorised signatory.
8. Details of settler.
9. Identify any beneficial owners who own more at least 25% of the share capital or voting rights or otherwise exercises control over the trust. Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
10. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Pension Scheme**

For an employee sponsored pension scheme in the EU proof of registration from the relevant tax authorities.

Otherwise items 1-6 below.

1. Full name.
2. Registered office address.
3. Authorised signatory list.
4. Confirmation of registration (as appropriate) from the relevant tax authorities or pensions board or items 5 and 6 below.
5. Names of Trustees/Directors/ Governors /Board Members or equivalent.
6. Constitutional/Formation Document (e.g. Trust Deed).

Note: the Company or the Administrator may require further documentation to be provided upon written request.



**Charity**

Extract from the relevant Charities Register e.g. UK Charities Commission or 1- 9 below.

1. Full name.
2. Nature/purpose including the nature of the funding.
3. Registered office address.
4. Principal business address.
5. Authorised signatory list.
6. Details of Trustees/Directors/ Governors/Board Members or equivalent.
7. Verification of identity of two Trustees / Directors/Governors/Board Members or one Trustee/Director/Governor/ Board Member and one authorised signatory.
8. Details of beneficiaries (where ascertainable).
9. Constitutional/Formation Document.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Club or Society**

1. Full name.
2. Registered office address.
3. Nature/Purpose including the nature of funding.
4. Confirmation of the legal status.
5. Constitutional/Formation Document (e.g. Trust Deed) and / or copy of audited financial statements (if available).
6. List of officers.
7. Verification of identity of two officers of the Club/Society or one officer and one authorised signatory.
8. Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Public Body**

For a Public Body in a Prescribed Country background from a reliable source (e.g. internet search) and Authorised Signatory List. Otherwise see 1- 9 below.

1. Full name.
2. Nature and status.
3. Registered office address.
4. Name of the home state authority and nature of its relationship with public body.
5. Ownership of the entity.
6. Names of main public body officials.
7. Identify all persons who own or control over 25% of the entity's share capital, profit or voting rights or otherwise exercises control over the management of the entity. Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
8. Authorised signatory list.
9. Appropriate background information on the entity (e.g. via internet search).

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**School, College or University**

1. Full name.
2. Registered office address.
3. Authorised signatory list.
4. Verification of identity from relevant registers and/or from obtaining appropriate background information on the entity (e.g. via internet search).
5. Verification of identity of two officials or one official and one authorised signatory or 6 and 7 below.
6. Confirmation of ownership of the entity. In particular, confirmation of public ownership or independent ownership.
7. Names of main officials.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

**Jurisdictions assessed by the Administrator to operate comparable AML/CTF controls**

Australia, Austria, Belgium, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, , Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom and the USA.



## EU SAVINGS DIRECTIVE

**Re the EU Savings Directive – the List of ‘Relevant Jurisdictions’ and Third Countries Member States (other than Ireland):**

Ireland will send information to the 24 other member states.

Ireland will receive information from the other member states except from those marked \* - **those marked \* will impose a withholding tax.**

Austria*	Belgium*	Cyprus	Czech Republic
Denmark	Estonia	Finland	France
Germany	Greece	Hungary	Italy
Latvia	Lithuania	Luxembourg*	Malta
Netherlands	Poland	Portugal	Slovakia
Slovenia	Spain	Sweden	United Kingdom

**Dependant or associated territories of Member States (Netherlands and the UK)**

Ireland will send information to Aruba and Netherlands Antilles.

Ireland will receive information from Aruba but not from Netherlands Antilles - they will impose a **withholding tax.**

Ireland will send information to Jersey, Guernsey and Isle of Man.

Ireland will not receive information from them - they will impose a **withholding tax.**

1. Ireland will send information to and receive information from Anguilla.
2. Ireland will not send information to or receive information from British Virgin Islands - they will impose a withholding tax.
3. Ireland will not send information to but will receive information from Cayman Islands.
4. Ireland will send information to and receive information from Montserrat.
5. Ireland will not send information to or receive information from Turks and Caicos Islands - they will impose a **withholding tax.**

**Dutch Territories:**

Aruba  
Netherlands Antilles

**UK Territories:**

Jersey  
Guernsey  
Isle of Man

1. Anguilla
2. British Virgin Islands
3. Cayman Islands
4. Montserrat
5. Turks and Caicos Islands.

**Third countries**

These countries are not participating in automatic exchange of information.

To the extent that they will exchange information it will be on a request basis only.

Their participation is confined to imposing a **withholding tax.**

Andorra  
Liechtenstein  
Monaco  
San Marino  
Switzerland

The information contained herein has been obtained from sources which we believe to be reliable, but its accuracy cannot be guaranteed. Such information is subject to change, is intended for informational purposes only, and is not to be construed as investment advice, tax advice or guidance

