

# Northern Trust Global Funds plc (the "Company")

## ACCOUNT OPENING FORM

Please ensure that you have read the Prospectus for the Company (the "Prospectus") and the Key Investor Information Document (the "KIID") before completing this Account Opening Form. Defined terms used in this form are those used in the Prospectus and in the definition section of this form. The KIID is located at <https://www.northerntrust.com/asset-management/europe/services/pooled-funds>.

### PLEASE RETURN TO

INVESTORS SHOULD ENSURE THAT THE ORIGINAL APPLICATION FORM IS RETURNED BY POST TO THE ADMINISTRATOR AT THE ADDRESS BELOW. FAILURE TO RETURN THE ORIGINAL APPLICATION FORM AND SUPPORTING DOCUMENTATION WILL DELAY THE PAYMENT OF REDEMPTION PROCEEDS.

#### Northern Trust International Fund Administration Services (Ireland) Limited

Georges Court, 54-62 Townsend Street, Dublin 2, Ireland | Tel: +353 1 542 2909 | Fax: +353 1 434 5286

All Applicants should sign the necessary declaration on page 8. Please complete this form in blue or black ink using BLOCK CAPITALS. Any queries can be sent to [NTfundservice@NTRS.com](mailto:NTfundservice@NTRS.com).

### ACCOUNT REGISTRATION DETAILS

Entity Type (Financial Company/Bank/Nominee/Individual\*/Joint Holder/Financial Agent/Intermediaries)

Full Name of Applicant

Place of Incorporation

Registration Number

Address

Town/City

Postcode

Country

Tel

Fax

Email 1

Email 2

Email 3

\*Individuals must also complete Appendix II

### ACCOUNT OWNER

#### 1. Account Owner Section

The following establishes whether the account owner is an exempted entity under the Regulations (where (a) and (b) outlined below are applicable, the fund does not need to look-through the entity to obtain information on beneficial owners):

Owner's Name

Owner's Country of Tax Residency

Owner's Tax ID Number

Town and Country of Birth\*

Confirm whether (a) listed/not listed; and, if listed, (b) subject to the requirements of the transparency directive<sup>1</sup> or equivalent standards regarding transparency of ownership (specifying applicable regime)<sup>2</sup>

<sup>1</sup> 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.

<sup>2</sup> Note the Company in its sole discretion retains power to decide on equivalence of any other regime.

## 2. Beneficial Owner section

The following establishes whether a third party beneficial owner identified by an intermediary/subscriber is an exempted entity under the Regulations:

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

## 3. Beneficial Owners and the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulation 2016

- 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 law<sup>5</sup> or subject to equivalent standards which ensure adequate transparency of ownership information, please tick this box and proceed to the next section (Stock Exchange Listing). Otherwise, please complete the remainder of this section.

Where sub-paragraphs (A) or (B) below are relevant, the following table must also be completed in order to enable the Company to comply with the European Union (Anti Money Laundering Beneficial Ownership of Corporate Entities) Regulation 2016 (SI No. 560 of 2016) (the "Beneficial Ownership Regulations"). If you become aware that you are a "beneficial owner" of the Company (as that term is defined in the Beneficial Ownership Regulations) you have certain legal obligations to provide the Company 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 the last paragraph of Section 5, "Representations, Signature(s) and Dates" in respect of the statutory obligations to the Company.

- (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 [insert relevant section re account owner information] or (ii) the third party beneficial owner named in [insert relevant section re beneficial owner information] 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 (firstname, surname)	Residential address
Date of birth	Nationality

Statement of (i) the nature and (ii) the extent of the interest in the company held by the relevant natural person as beneficial owner<sup>6</sup>

### FOR INTERMEDIARIES ONLY

Is this information being provided with the knowledge of the relevant natural person?

Yes  No

If you cannot provide the information requested in this Section, 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 knowledge<sup>7</sup>

<sup>3</sup> 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.

<sup>4</sup> Note the Company in its sole discretion retains power to decide on equivalence of any other regime.

<sup>5</sup> Including the Transparency Directive (as defined in footnote (1))

<sup>6</sup> 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

<sup>7</sup> Please attach a continuation sheet if the space herein is insufficient

## Stock Exchange Listing

Please tick this box if you are listed on a stock exchange.

If you have ticked confirming you are listed on a stock exchange, are you subject to the requirement of the transparency directive<sup>8</sup> or equivalent standards regarding the transparency of ownership.

\_\_\_\_\_  
Please specify equivalent standards regime

## REDEMPTION PAYMENT INSTRUCTIONS

Please accept our written instructions for redemption payment proceeds to be paid directly to our bank account as follows:

Currency  \$  £  €

\_\_\_\_\_  
Correspondent Bank (if applicable)

\_\_\_\_\_  
Correspondent Bank ABA / BIC Code (if applicable)

\_\_\_\_\_  
Intermediary Bank Name

\_\_\_\_\_  
Sort Code / BIC

\_\_\_\_\_  
Account Name

\_\_\_\_\_  
Account Number

\_\_\_\_\_  
IBAN

Note: Payments will be withheld until full bank account details are provided.

## ADDRESS FOR THIRD PARTY INFORMATION

\_\_\_\_\_  
Address

\_\_\_\_\_  
Town/City

\_\_\_\_\_  
Postcode

\_\_\_\_\_  
Country

\_\_\_\_\_  
Tel

\_\_\_\_\_  
Fax

\_\_\_\_\_  
Email

## DISTRIBUTION REQUIREMENTS

Dividends are declared on each Dealing Day in respect of each fund except the Euro Liquidity Fund (which offers accumulating shares). They are paid monthly in cash unless the Shareholder elects to receive the dividends in the form of additional shares.

Distributions will be reinvested until we receive all relevant Anti-Money Laundering documentation.

- We would like to receive cash (not currently available for The Euro Liquidity Fund). Please note we will use the bank details you have supplied in the 'Redemption Payment Instructions' section.
- We would like our distribution in the form of additional shares.
- We would like the income to accumulate (default option for the Euro Liquidity Fund).

<sup>8</sup> Directive 2004/109/EC

**INTERMEDIARIES/NOMINEES**

Please tick the following box, if appropriate:

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 the name of entity's regulator:*

If you are acting on behalf of a third party you must complete section below. A separate Letter of Undertaking is also required, please contact the Administrator.

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

- A copy of a photographic identity document and a copy of a non-photographic identity document.

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

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 or the USA, acting on behalf of a third party, must complete a Letter of Undertaking. Please contact the Administrator.

**INVESTMENT VIA BLOOMBERG**

Please tick box if you are investing via Bloomberg. Please note a Subscription/Redemption form is not required for deals placed via Bloomberg.

## SIGNATURES AND DECLARATIONS

1. We declare that the KIID has been provided to us in good time prior to making this application for Shares and that we have read and reviewed the KIID. We hereby acknowledge and agree that the updated KIID for each share class is available at the Investment Manager's website at [www.northerntrust.com/pooledfunds](http://www.northerntrust.com/pooledfunds) and that we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent applications for Shares in the Company. We are aware that copies of the Prospectus, latest annual and semi-annual reports, KIID and other information may be obtained from the Fund's Administrator at George's Court, 54-62 Townsend Street, Dublin 2, Ireland. We give full consent to receiving this information by means of electronic communication.
2. We acknowledge as part of this application that we have been offered the Prospectus and where applicable the most recent annual or half-yearly reports and accounts for the Fund and furthermore that this application is made on the terms thereof and subject to the provisions of the Prospectus and the Memorandum & Articles of Association, and acknowledge that we are bound by the terms therein, including without limitation, the provisions under the heading Dividend Policy contained in the Supplement providing for the reinvestment of all dividends declared.
3. We certify that we are eligible to invest in the Fund and we are not acquiring Shares for or on behalf of any person or entity which is not eligible to invest in the Fund nor do we intend transferring any Shares which we may purchase to any person or entity which is not eligible to invest in the Fund. We confirm that we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
4. We agree to notify the Fund or the Administrator immediately if we become aware that any of the representations, declarations or warranties given by us in this Application Form are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of our entire holding.
5. We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that we are capable of evaluating the merits, and the risks, of an investment by us in the Fund.
6. We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which we are subject to taxation and that the tax consequences of our purchase of Shares depend on our individual circumstances.
7. We acknowledge the right of Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
8. Except insofar as the same may result from the negligence, willful default or fraud by the Investment Manager or its employees, or delegates we hereby agree to indemnify and hold harmless the Fund, on its own behalf and on behalf of its agents, the Directors, Custodian, Administrator, Investment Manager, Distributors and the other Shareholders and their respective directors, officers and employees (collectively, "Indemnified Parties") for and against any liability, loss, cost, expense (including without limitation, legal counsel and professional fees, taxes and other costs and expenses incurred in connection with the defence of any claim, action or proceedings) (together, "Losses") which may result directly, or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by us to the Fund. None of the Indemnified Parties will be responsible or liable for the authenticity of instructions received from us or any authorised person and they may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed to be genuine. We also agree to indemnify and hold harmless the Indemnified Parties from and against any Losses, which may result from our holdings of shares in the Fund which bring the Fund into conflict with any requirement of any local regulatory authority or the Fund incurring any liability to taxation or breaching any law or regulation of any local regulatory or taxation authority.
9. The Administrator is hereby authorised and instructed to accept and execute any instruction in respect of Shares to which the application relates given by us by fax we undertake to confirm them in writing immediately. We agree to indemnify the Fund on its own behalf or behalf of its shareholders and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of acting upon fax instruction. The Administrator may rely conclusively upon and shall ensure no liability in respect of any action taken upon any notice, consent request, instruction of other instrument. The Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
10. We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions the Investment Manager and the Administrator (as the case may be) may require further identification from us, as described in the Prospectus, at any time in relation to this before application and the Investment Manager and Administrator on their own behalf and as agent of 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 requested by the Administrator or the Fund, and has not been provided by us. We also warrant and declare that the monies being invested pursuant to the application do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise. In line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. For this purpose, certain documentation will be required at the time of application. Furthermore, no redemption payment may be made until the original application form has been received from the investor and is satisfied that all of the necessary anti-money laundering checks have been completed.
11. We acknowledge the attached Data Protection Notice and agree to ensure that such notice is made available and brought to the attention of any individual connected with us whose personal information is provided as a consequence of an investment in the Company.
12. We agree and acknowledge that, in order to be valid, this Account Opening Form must be signed by each applicant and, if not fully completed to the satisfaction of the Fund, the Investment Manager or the Administrator, the application may be rejected. In the case of applications by partnerships, proprietorships or other unincorporated associations or firms, the applications should be signed by all the partners/proprietors. In the case of applications by corporations, applications should be executed under seal or signed by a duly authorised person(s) who should indicate their representative capacity. In the case of trusts, applications should be made in the individual names of the trustees and should be accompanied by duly certified documentation. If this application form is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany this application.
13. We undertake to abide by the restrictions on transfers of units set out in the Articles of Association and under the heading "Transfer of shares" in the Prospectus. In addition, we undertake to complete a transfer form as application form in respect of such transfer.
14. The Administrator may deliver electronic information to Shareholders directly or via the web-site. Such reports may include but may not be limited to contract notes, holdings confirmations, valuation statements and other reports which may be issued by the Administrator from time to time ("Reports"). We hereby agree that, other than as a result of the fraud, negligence, bad faith, willful misconduct or reckless disregard of the Administrator in the performance of its duties as Administrator of the Fund, the administrator and its directors, officers, employees and agents shall be fully indemnified and shall not be liable to the Fund or to any Shareholders in the Fund for any direct Losses occasioned by act or omission of the Administrator and its directors, officers and employees in connection with the electronic delivery of Reports.
15. We hereby warrant and represent that investment in the Fund by us is consistent with our statement of investment principles, restrictions and guidelines and, if we are a UK pensions scheme, its trustee(s) or a representative, that, in complying with such principles, restrictions and guidelines, the Investment Manager are each complying with section 36 of the UK Pensions Act 1995.
16. We warrant that we are duly authorised to sign this Account Opening Form and to subscribe for Shares in the Fund. We warrant that we are not in breach of any laws or regulations of any competent jurisdiction and hereby indemnify the Fund, the Investment Manager and their Agents, the Administrator or other Shareholders for any loss suffered for by them as a result of this warranty/representation not being true in every respect.

## SIGNATURES AND DECLARATIONS

17. We declare that we are not a U.S. Person as defined in the Prospectus, and that we are not applying as a nominee of a U.S. person and we are not acting on behalf of nor do We intend to transfer any shares to any U.S. Person(s). If you are a U.S. Person please contact the Administrator for supplemental forms. We confirm that we have the authority to make this investment whether the investment is our own or is made on behalf of another person or institution:
- We declare that we are not a Benefit Plan Investor as defined in Section 3(42) of the ERISA
  - We declare that we are not a U.S. Taxpayer. For these purposes a U.S. Taxpayer includes the following:-
    - a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes);
    - any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia);
    - any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations;
    - any estate, the income of which is subject to U.S. income taxation regardless of source; and
    - any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.
18. We shall provide the Fund and the Administrator with any additional information which it may reasonably request in connection with tax and/or FATCA (as defined in the Prospectus) regulations/reporting requirements and/or the OECD Common Reporting Standard ("CRS") or other similar requirements in order to substantiate any representations made by us or otherwise and we authorise the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.
19. We shall supply the Fund with executed copies of those documents attached, or referred to, in Annex 1<sup>1</sup> (for US and Non-US Taxpayers).
20. We agree to provide to the Fund and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax and/or FATCA regulations/reporting requirements and/or the CRS). Should any information furnished to any of them become inaccurate or incomplete in any way, we hereby agree to notify the Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.
21. In addition to any information required to the Tax Information, we agree to promptly provide, and periodically update, at any times requested by the Administrator with any information (or verification thereof) the Administrator deems necessary to comply with any requirement imposed on the Fund including pursuant to tax and/or FATCA reporting requirements (including any imposed by any intergovernmental agreement ("IGA") or any legislation in relation to any IGA and/or the CRS). This may include such information as is required to evidence the Fund's (or any account holder in the Fund's) status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether of its account holders are US person for these purposes.
22. In addition to the Tax Information, we agree to promptly provide, at any times requested by the Administrator, any information (or verification thereof) the Administrator deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required to withdraw from the Fund if necessary to comply with FATCA, the IGA and the CRS.
23. We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Fund and the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We represent and warrant that we have any requisite consent to disclose any information to you. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and we will, on demand, hold the Fund harmless from any liability resulting from our failure to provide complete and accurate Information.
24. We hereby acknowledge that if we fail to provide the any information on a timely basis, we may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.
25. We hereby acknowledge that if we fail to provide the any information and such failure results in the Fund being unable to comply with the IGA and/or the CRS, the Fund may exercise its right to completely redeem an applicant (at any time upon any or no notice). We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
26. This Account Opening Form (the "Terms") are to be governed by and construed in accordance with Irish law. We irrevocably submit(s) to the exclusive jurisdiction of the courts of the Republic of Ireland to settle any dispute which may arise under or in connection with this application form or the legal relationships established by these Terms.
27. Fund holdings are available on the [www.northerntrust.com/pooledfunds](http://www.northerntrust.com/pooledfunds) website. Some clients receive additional information and/or reports on a more frequent basis. Please contact your Relationship Manager to discuss any further reporting needs.
28. Our liability under the Terms shall be limited, in the absence of fraud, to our holdings of shares in the Fund from time to time.
- 29.1 For so long as we hold Shares in the Company, we agree to provide all necessary details, information, documents and co-operation requested by the Company or its duly authorised delegates in order to determine beneficial ownership as defined in the Beneficial Ownership Regulations.
- 29.2 If at any time during the period we hold any Shares in the Company we become aware that we are a "beneficial owner" of the Company as that term is defined in the Beneficial Ownership Regulations we acknowledge and agree to the following:
- (i) to provide such information as may be required by the Company and (ii) if the Company or its duly appointed delegate has not contacted us within a month of our acquiring the status of a Beneficial Owner, provide the information required in paragraph 2 of the "Account Owner" section of this form within the following month, as well as (to the best of our knowledge) the date on which we became a Beneficial Owner (as required under Regulation 11 of the Beneficial Ownership Regulations);
  - where we become aware that (a) a Relevant Change (as defined in paragraph 3 of the "Account Owner" section) has occurred and (b) the Company or its duly appointed delegate has not contacted us for information on the Relevant Change within a month of its occurrence, we agree to notify the Company 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 we could reasonably conclude that a Relevant Change has occurred (whichever is later)(as required under Regulation 12 of the Beneficial Ownership Regulations).

<sup>1</sup>Annex 1 - Forms W-8BEN, W-8BENE, W-8IMY, W-8ECI, W-8EXP, or W-9 as applicable; FATCA and CRS certifications as applicable; other documents

29.3 We 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 our status as a Beneficial Owner, we (i) fail to take the steps above where the Company has not contacted us 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.

## DECLARATION OF RESIDENCE INSIDE OR OUTSIDE IRELAND

Please tick as appropriate.

**Irish Residents**

We are an Irish Resident who will cause the Company to have an obligation to deduct and pay tax to the Irish Revenue Commissioners.

**Exempt Irish Investors**

We are an Irish Resident who will not cause the Company to have an obligation to deduct and pay tax to the Irish Revenue Commissioners. Rider one - If you have ticked this box to validate your status as an Exempt Irish Investor please complete Appendix III titled 'Declaration of residence within the Republic of Ireland'.

**Non-Irish Residents**

Declaration of Residence outside Ireland. If you tick this box, you must tick the declaration section under 'Declaration of Residence outside 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 application of Shares. Terms used in this declaration are defined in the Prospectus.

## DECLARATION OF RESIDENCE OUTSIDE 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/units. Terms used in this declaration are defined in the Prospectus.**

### Declaration of own behalf

We declare that we are applying for the shares on our own behalf/on behalf of a company\* and that we are/the company\* is entitled to the shares in respect of which this declaration is made and that

- We are/the company is\* not currently resident or ordinarily resident in Ireland, and
- should we/the company\* become resident in Ireland we will so inform you, in writing, accordingly.

\*Delete as appropriate

### Declaration as Intermediary

We declare that we are applying for shares on behalf of persons:

- who will be beneficially entitled to the shares; and,
- who, to the best of our knowledge and belief, are neither resident nor ordinarily resident in Ireland.

We also declare that:

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

\_\_\_\_\_  
Name and address of applicant

\_\_\_\_\_  
Signature of applicant or authorised signatory (declarant)

\_\_\_\_\_  
Capacity of authorised signatory (if applicable)

\_\_\_\_\_  
Date

### Joint applicants

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

**IMPORTANT NOTES**

1. Non-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.

**AUTHORISED SIGNATORIES**

**DECLARATION: We declare that the information contained in this form is true and accurate to the best of our knowledge and belief.**

Signature 1	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 2	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 3	Name	Signatory Capacity if applicable (i.e Director/Manager)
Signature 4	Name	Signatory Capacity if applicable (i.e Director/Manager)

\_\_\_\_\_  
Date (day/month/year)

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



## DATA PROTECTION NOTICE

This notice sets out how Northern Trust Global Funds plc (the “**Company**”) will process personal information (as a Controller as defined in the Regulation). It outlines the Company’s data protection obligations and your data protection rights as they relate to your investment in the Company under the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679) (the “**Regulation**”).

**Investors should ensure that this notice is made available and brought to the attention of any individual connected with them whose personal information is provided as a consequence of an investment in the Company.**

Where your details are provided 1) as a consequence of your investment in the Company and your associated interactions with the Company (including the initial or subsequent application for shares in the Company, and the recording of electronic communications or phone calls where applicable) or 2) by virtue of you otherwise providing the Company with personal information; then the Company, acting as a Controller, may itself (or through a third party such as Northern Trust International Fund Administration Services (Ireland) Limited (the “**Administrator**”), acting in its capacity as the Company’s administrator) process your personal information, or that of individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents). Personal information includes, but is not restricted to, data such as name, residential address, email address, place of birth, date of birth, bank account details and details relating to investment activity. In connection with this, please note the following:

### 1. Purposes of Processing and Legal basis for processing

Personal data may be processed by the Company or the Administrator or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- a) to facilitate the opening of your account with the Company and for the management and administration of your holdings in the Company and any related account on an on-going basis (the “**Services**”) which are necessary for the performance of your contract with the Company, including without limitation the processing and verification of instructions including redemption, conversion, transfer and additional subscription requests, fee calculation and the payment of distributions;
- b) to update and maintain records for the Company as necessary to the performance of your contract;
- c) to carry out anti-money laundering (“**AML**”) checks and related actions which the Company considers appropriate to meet any legal obligations imposed on the Company, or where in the Company’s legitimate business interests, in relation to the prevention and investigation of fraud, money laundering, terrorist financing, bribery, corruption and tax evasion;
- d) where processing is in the public interest;
- e) to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company’s and the Administrator’s anti-money laundering procedures;
- f) to retain anti-money laundering and other records of individuals to assist with the subsequent screening of them by the Administrator to comply with a legal obligation;
- g) to prepare tax related information in order to report to tax authorities in compliance with a legal obligation;
- h) to (i) detect, prevent, investigate and prosecute crime, (ii) enforce or defend the responsibilities and rights of the Company and its affiliates’, itself or through third parties to whom it delegates such responsibilities or rights, in order to comply with any legal obligation imposed on the Company;
- i) to disclose information to other third parties such as service providers of the Company, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Company or in order to pursue the legitimate interests of the Company;
- j) to monitor and record calls and electronic communications for quality control, business and statistical analysis and training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery;
- k) where it is necessary for the pursuance of the legitimate interests of the Company or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms. Note that this may include the use of data for direct marketing purposes. It is noted that the Regulation states that the use of personal data for direct marketing purposes (that is, providing you with information on products and services that may be of interest) may be regarded as being for the purposes of a legitimate interest.

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

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.

### 2. Recipients of Data and International Transfer of Data

The Company may disclose your personal information as follows:

- a) to its service providers, including the Administrator, to their affiliates, to technology providers and to other third party service providers engaged by the Company in order to process the data for the above mentioned purposes; and,
- b) to auditors, competent authorities (including tax authorities), courts and other bodies in order to comply with a legal obligation imposed on the Company or the Investment Manager or to affiliates for internal investigations and reporting.

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (“**EEA**”) in accordance with the requirements of the Regulation. Such countries may not have the same data protection laws as your jurisdiction.

The Company and its duly authorised delegates shall apply appropriate information security measures designed to protect personal data in its or its delegates’ possession from unauthorised access by third parties or any form of computer corruption.

The Company has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Administrator for copies of the Standard Contractual Clauses that have been entered into on behalf of the Company. Any transmission of personal data by the Company or its duly authorised delegates outside the EEA shall be in accordance with the conditions in the Regulation.

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

### 3. Retention period

The Company and its duly authorised delegates may retain your personal information for a period of up to seven years following your disinvestment from the Company or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and 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.

#### 4. Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- a) Right to access your personal information (in an easily readable form).
- b) Right to rectify your personal information.
- c) Right to restrict the use of your personal information (in certain specific circumstances).
- d) Right to request that your personal information is erased (in certain specific circumstances). Please note that the right for your data to be erased (the “**right to be forgotten**”) that applies in some contexts under the Regulation is not likely to be applicable to most, if not all, of the personal data you provide to the Company, given the specific nature of the purposes for which the Company uses the data, as described above.
- e) Right to object to processing of your personal information (in certain specific circumstances).
- f) Right to data portability (in certain specific circumstances).
- g) Right to withdraw consent (in certain specific circumstances)
- h) Right to receive information regarding any entities the Company discloses your data to.

#### Complaints

You have the right to lodge a complaint with the Office of the Data Protection Commissioner if you consider that the processing of personal data relating to you carried out by the Company or its service providers infringes the Regulation.

#### How to contact us

As the Company does not process personal data on a large scale, the Company is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with the Company, please contact Northern Trust Global Funds PLC, George’s Court, 54-62 Townsend Street, Dublin 2, Ireland.