

## HOW TO INVEST WITH FOORD

1. Read the applicable Offering Document(s) listed in Annexure 7 before making a decision to subscribe for units/shares in the Foord global funds.
2. Complete all sections of this subscription form using BLOCK LETTERS.
3. Submit the completed form and all investor identification documentation listed in Annexure 4 by fax to +352 2460 4459 or by email to [investments@foord.com](mailto:investments@foord.com). Foord reserves the right to request additional documentation and information before accepting this subscription form. The cut-off time for dealing is 16:00 Central European Time. Dealing instructions received after the cut-off time will be processed the following business day.
4. Remit your investment monies to the bank account set out in Annexure 5. This subscription will be processed on a cleared funds basis. Any monies awaiting allocation shall not bear any interest for the investor.
5. The original onboarding documents must be sent by mail or courier to an agent office within 30 calendar days. Redemption payments will be delayed until the original onboarding documents are received in good order. Any redemption monies awaiting payment will not bear any interest for the investor.
6. Foord Asset Management (Guernsey) Limited is the global distributor of the Foord global funds. Agent offices are maintained in Luxembourg, Singapore and South Africa. If you require assistance or further information, please contact the agents in any of these locations:

	LUXEMBOURG	SINGAPORE	SOUTH AFRICA
Agent	RBC Investor Services Bank S.A. (for the attention of Foord Register team)	Foord Asset Management (Singapore) Pte. Limited	Foord Unit Trusts (RF) (Pty) Limited
Address	14, Porte de France, L-4360 Esch sur Alzette, Luxembourg	9 Raffles Place, Republic Plaza, #18-03 Singapore 048619	8 Forest Mews, Forest Drive, Pinelands 7405, South Africa
Telephone	+352 2605 2200	+65 6521 1100	+27 21 532 6969

## A. INVESTOR DETAILS

Name \_\_\_\_\_

Type of institution \_\_\_\_\_

Date of establishment or incorporation \_\_\_\_\_ Incorporation number \_\_\_\_\_

Country of incorporation \_\_\_\_\_ Main business activity \_\_\_\_\_

Does/Can the company issue bearer shares?  Yes  No

Address/Registered address (P O Boxes are not accepted for investment purposes) \_\_\_\_\_

Correspondence address (if different from above) \_\_\_\_\_

Contact name \_\_\_\_\_ Email \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Complete Annexure 2 in respect of every ultimate beneficial owner of the units/shares being subscribed.

If this form is completed by an agent on behalf of the main investor, that agent should complete Annexure 1.

## B. TAX DECLARATIONS

Regulations require Foord to collect tax residency information from investors. Information on the investment account may be shared with the relevant tax authorities based on this self-certification. Please note any US citizens are considered tax resident in the US irrespective of their actual country of residence.

### SECTION ONE: TAX RESIDENCY

If your entity has more than one tax residency, please complete one self-certification form for each country on a separate page.

- 1.1 Please state the country in which your entity is resident for tax purposes \_\_\_\_\_
- 1.2 Please provide us with your entity's tax reference number \_\_\_\_\_
- 1.3 Please tick this box if you have indicated the country in 1.1. above is the United States, **and** the entity is not a Specified US Person listed in Annexure 6 (1.4).

### SECTION TWO: ENTITY'S CLASSIFICATION UNDER FATCA & CRS

Please tick the relevant box in this section, with reference to the tax residency stated in 1.1. above.

- 2.1 Financial Institution
- (i) Financial Institution in a jurisdiction participating under CRS exchange
- (ii) An Investment Entity located in a Non-CRS participating jurisdiction   
*(Please complete Annexure 3 for each controlling person)*
- (iii) Foreign Financial Institution ("FFI") Compliant with FATCA, including Deemed Compliant FFI/ Participating FFI
- a) Please provide your GIIN. If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN. If you are a Trustee Documented Trust, please provide the details of your Trustee who will be reporting on your behalf.
- GIIN : \_\_\_\_\_  
Name of Sponsoring Entity : \_\_\_\_\_
- b) The FI does not have a GIIN because it falls under the following category. Please tick the relevant box.
- i. The FI is an Exempt Beneficial Owner
- ii. The FI is a Deemed Compliant Financial Institution
- 2.2 Non- Financial Entity/ Non- Financial Foreign Entity
- (i) The entity is an Active NFE/ NFFE
- a) The entity is a listed company, whose shares are regularly traded on a recognised stock exchange
- b) The entity is a "Related Entity" of a listed company, whose shares are regularly traded on a recognised stock
- Name of the listed entity : \_\_\_\_\_  
Name of the Stock Exchange where it is traded regularly : \_\_\_\_\_
- (ii) The entity is a Passive NFE/ NFFE *(Please complete Annexure 3 for each controlling person)*
- 2.3 Other FATCA/ CRS status.
- Please provide details: \_\_\_\_\_

## C. BANK ACCOUNT

- NOTES
- Please provide details of the remitting bank account. Subscription payments from a third party's bank account are not permitted.
  - Subscriptions/ redemptions should be coming from/ paying to this bank account.
  - Verification of the identity of the bank account holder may be requested
  - Fields marked with \* are mandatory

\*Investor bank name \_\_\_\_\_ SWIFT code \_\_\_\_\_

\*Investor bank account number or IBAN \_\_\_\_\_

\*Investor account name \_\_\_\_\_

CORRESPONDENT BANK (intermediary bank, if applicable)

Correspondent bank name and address \_\_\_\_\_

SWIFT code \_\_\_\_\_ ABA/CHIPS (US\$ only)/Sort code/CHAPS (GBP only) \_\_\_\_\_

## D. SUBSCRIPTION INSTRUCTION

- NOTES
- The minimum subscription amount is USD 10,000 equivalent.
  - Subscription funds may be paid in USD. For remittance in GBP or EUR, please contact Foord for the relevant remittance details.
  - Foord-Hassen Shariah Equity Fund is registered for distribution or marketing only in Luxembourg.

FUND (Refer Annexure 5 for further information)	CLASS	CURRENCY	SUBSCRIPTIONAMOUNT (in words and numerals)
Foord International Fund	Class R ISIN: LU1089177924 <sup>New</sup>		
Foord Global Equity Fund (Luxembourg)	Class R ISIN: LU2239867901		

## E. INVESTMENT FREQUENCY AND AMOUNT

- NOTES
- Please tick **the most** appropriate response in each of the following questions.

What is the expected number of subscriptions in any calendar year?

- 4 or less than 4 transactions
  5 to 10 transactions
  more than 10 transactions

What is the expected investment amount (in US\$)?

<input type="checkbox"/> \$500,000 or less	<input type="checkbox"/> \$500,001 to \$999,999	<input type="checkbox"/> \$1million to \$3million	<input type="checkbox"/> \$3,000,0001 to \$5million	<input type="checkbox"/> more than \$5million (please specify: US\$_____)
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Source of funds:

<input type="checkbox"/> Earnings and reserves	
<input type="checkbox"/> Sales of assets	Property name and location (country) : _____ Date of sale: _____ (dd/mmm/yyyy) Sale proceeds: _____ (US\$)
<input type="checkbox"/> Liquidation of investments including matured investments	Investment Name : _____ Country of origin: _____ Date of divestment: _____ (dd/mmm/yyyy) Sale proceeds: _____ (US\$)
<input type="checkbox"/> Other income type	Please describe : _____ Country of origin: _____ Date of receipt: _____ (dd/mmm/yyyy) Amount received: _____ (US\$)

Foord may request additional documents and information to verify the source of funds before accepting this dealing instruction.

## F. INVESTOR DECLARATION

1. All information in this subscription form and submitted by us is true, accurate and complete. We will promptly inform Foord of any changes.
2. We are duly organised and in good standing under the laws of the jurisdiction in which we are organised. We have full power, authority, eligibility and permission to conclude this contract, with the necessary assistance where such assistance is a legal requirement.
3. We confirm that the money or assets to be invested are not the proceeds of any criminal act.
4. We confirm that we are tax compliant in the countries where we are tax resident.
5. We have read and fully understood all the pages of this subscription form and the Offering Documents listed in Annexure 5 and we agree to the terms and conditions of this investment, as set out in the Offering Documents, as amended or supplemented by Foord.
6. We are aware of the charges and fees, the total expense ratio, investment objective and risk factors applicable to our investment in the fund(s) as set out in this subscription form, the latest factsheet (available at [www.foord.com](http://www.foord.com)) and in other documentation provided to me. We know that there are no guarantees on my investment capital or the performance return of the investment.
7. We confirm that we are making an unsolicited offer to purchase units/shares in the fund(s), and that Foord has not provided any form of advice with regards to our investment in the Foord global funds.
8. We are aware that the country of domicile of the funds may not be our home country and that:
  - 8.1. The level of investor protection and safeguards may differ from our home country, and
  - 8.2. We may be exposed to further tax implications, currency risks and/ or incur additional transaction costs related to my investment in the fund(s).
9. We have read Foord's Privacy Notice published on [www.foord.com/notices/GDPR.html](http://www.foord.com/notices/GDPR.html). We consent to all personal data (including sensitive personal data) included in this subscription form or other information provided by us to Foord and its related corporations and/or independent third parties/delegates and their respective employees being collected, used, disclosed or otherwise processed to enable each of them to carry out their respective duties and obligations in relation to our investment in the fund(s) for each of the purposes as set out in the relevant Prospectus or as may be permitted under the applicable personal data protection legislation. We agree that any information provided by us to the fund may be disclosed to any other person, to the extent required or permitted by law.
10. We authorise Foord to:
  - Accept this subscription form and all subsequent instructions if delivered by email and we hereby indemnify Foord against any resulting claim or loss;
  - Email contract notes and statements of account to the addresses specified in this form and/or subsequent instructions and we hereby indemnify Foord against any resulting claim or loss; and
  - Suspend redemption payments until Foord is in receipt of the original subscription form and all supporting documents.

Monthly Valuation Statements and Transaction  
Advices to be:

Emailed and/or

Posted

Online access required

Please specify the email address:

\_\_\_\_\_

## SIGNATURES

### AUTHORISED PERSON

Signature \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

### AUTHORISED PERSON

Signature \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

## ANNEXURE 1: INTERMEDIARY/AGENT ACTING ON BEHALF OF INVESTOR

- Submit documentary evidence of the authorisation to act on behalf of the investor with this application form, such as Power of Attorney or mandate.

### INDIVIDUAL INTERMEDIARY/AGENT DETAILS

Title \_\_\_\_\_ Other (please state) \_\_\_\_\_ First name(s) \_\_\_\_\_

Surname \_\_\_\_\_ Previous names (if any) \_\_\_\_\_

Place of birth \_\_\_\_\_ Date of birth (dd/mm/yyyy) \_\_\_\_\_

Occupation \_\_\_\_\_ Relationship with investor \_\_\_\_\_

Regulated entity?  Yes  No License number \_\_\_\_\_ Regulator \_\_\_\_\_

Permanent residence address \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Correspondence address (if different from above) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Country(ies) of citizenship (LIST ALL COUNTRIES) \_\_\_\_\_

Passport or national identity number(s) \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

Do you or did you hold any public office and/or perform a role with any political exposure (as defined in Annex 3)?

Yes  No If yes, please provide details: \_\_\_\_\_

### CORPORATE INTERMEDIARY/AGENT DETAILS

Name \_\_\_\_\_

Type of institution \_\_\_\_\_

Date of establishment or incorporation \_\_\_\_\_ Incorporation number \_\_\_\_\_

Country of incorporation \_\_\_\_\_ Main business activity \_\_\_\_\_

Regulated entity?  Yes  No License number \_\_\_\_\_ Regulator \_\_\_\_\_

Address/Registered address (P O Boxes are not accepted for investment purposes) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Correspondence address (if different from above) \_\_\_\_\_

Country \_\_\_\_\_ Postal code \_\_\_\_\_

Contact name \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

### SIGNATURES

AUTHORISED PERSON ACTING ON BEHALF OF INVESTOR

Signature \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

AUTHORISED PERSON ACTING ON BEHALF OF INVESTOR

Signature \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

## ANNEXURE 2: BENEFICIAL OWNER

- An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the units/shares subscribed. This final beneficiary can be either a private person(s) or a listed company(ies) for which more than 75% of their capital is listed on a recognised stock exchange. In the case of indirect ownership, please describe on a dated and signed organisation chart all the intermediate levels or ownership with names and percentages.

### BENEFICIAL OWNER DETAILS: INDIVIDUAL

Title \_\_\_\_\_ Other (please state) \_\_\_\_\_ First name(s) \_\_\_\_\_  
Surname \_\_\_\_\_ Previous names (if any) \_\_\_\_\_  
Place of birth \_\_\_\_\_ Date of birth (dd/mm/yyyy) \_\_\_\_\_  
Occupation \_\_\_\_\_ Employer \_\_\_\_\_  
Permanent residence address \_\_\_\_\_  
\_\_\_\_\_ Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Correspondence address (if different from above) \_\_\_\_\_  
\_\_\_\_\_ Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Country(ies) of citizenship (LIST ALL COUNTRIES) \_\_\_\_\_  
Passport or national identity number(s) \_\_\_\_\_  
Telephone \_\_\_\_\_ Email \_\_\_\_\_  
Do you or did you hold any public office and/or perform a role with any political exposure (as defined in Annex 3)?  
 Yes  No If yes, please provide details: \_\_\_\_\_

### BENEFICIAL OWNER DETAILS: LEGAL ENTITY

Name \_\_\_\_\_  
Type of institution \_\_\_\_\_  
Date of establishment or incorporation \_\_\_\_\_ Incorporation number \_\_\_\_\_  
Country of incorporation \_\_\_\_\_ Main business activity \_\_\_\_\_  
Regulated entity?  Yes  No License number \_\_\_\_\_ Regulator \_\_\_\_\_  
Address/Registered address (P O Boxes are not accepted for investment purposes) \_\_\_\_\_  
\_\_\_\_\_ Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Correspondence address (if different from above) \_\_\_\_\_  
\_\_\_\_\_ Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Contact name \_\_\_\_\_  
Telephone \_\_\_\_\_ Fax \_\_\_\_\_  
Email \_\_\_\_\_

### SIGNATURES

#### AUTHORISED PERSON

Signature \_\_\_\_\_  
Name \_\_\_\_\_ Date \_\_\_\_\_

#### AUTHORISED PERSON

Signature \_\_\_\_\_  
Name \_\_\_\_\_ Date \_\_\_\_\_

Please print separate pages if required.

### ANNEXURE 3: CONTROLLING PERSON DETAILS

- Submit details of additional controlling persons, if any, on a separate page.

Title \_\_\_\_\_ Other (please state) \_\_\_\_\_ First name(s) \_\_\_\_\_  
Surname \_\_\_\_\_ Previous names (if any) \_\_\_\_\_  
Place of birth (i.e. country) \_\_\_\_\_ Date of birth (dd/mm/yyyy) \_\_\_\_\_  
Industry \_\_\_\_\_ Occupation and Employer \_\_\_\_\_  
Permanent residence address \_\_\_\_\_  
Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Correspondence address (if different from above) \_\_\_\_\_  
Country \_\_\_\_\_ Postal code \_\_\_\_\_  
Country(ies) of citizenship (LIST ALL COUNTRIES) \_\_\_\_\_  
Passport or national identity number(s) \_\_\_\_\_ Passport expiry date \_\_\_\_\_  
Telephone \_\_\_\_\_ Mobile \_\_\_\_\_  
Email \_\_\_\_\_

Do you / did you hold any public office and/or perform a role with any political exposure?  
 Yes  No If yes, please provide details: \_\_\_\_\_

Do your / did your close relative you hold any public office and/or perform a role with any political exposure?  
 Yes  No If yes, please provide details: \_\_\_\_\_

Are you the ultimate economic beneficiary of the units being subscribed?  
 Yes  No If no, please identify the ultimate beneficial owner: \_\_\_\_\_

#### TAX SELF-CERTIFICATION

COUNTRY/COUNTRIES OF TAX RESIDENCY \_\_\_\_\_ TAX REFERENCE NUMBER (E.G., TIN, UTR, NATIONAL INSURANCE NUMBER) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### TAX DECLARATIONS

Where applicable please complete the information below:

- Yes  No Are you a US person?  
 Yes  No Are you a US Green Card holder?  
 Yes  No Have you issued any Power of Attorney where signing authority is granted to a US Person?

#### SIGNATURES

##### AUTHORISED PERSON

Signature \_\_\_\_\_  
Name \_\_\_\_\_ Date \_\_\_\_\_

##### AUTHORISED PERSON

Signature \_\_\_\_\_  
Name \_\_\_\_\_ Date \_\_\_\_\_

Please print separate pages if required.

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## ANNEXURE 4: INVESTOR IDENTIFICATION DOCUMENTS

Foord must verify the identity of its investors.

To comply with Anti-Money Laundering (“AML”) and Countering the Financing of Terrorism (“CFT”) legislation, Foord will only process subscriptions once all supporting identification documents have been received.

Please attach to the subscription form the following required documentation:

### 1. FOR INDIVIDUAL IDENTIFICATION DOCUMENTS:

- 1.1. An original certified true copy of passport photo page, driving licence or identity card, preferably in colour, showing clear photo identification, date of birth and signature. Where the photo ID does not include the nationality of the individual, this information should be provided separately. The photo identification document must be valid at the date of subscription (not expired).
- 1.2. A recent utility bill (not older than 90 days) as proof of residential address.
- 1.3. A recent bank statement (not older than 90 days) as proof bank account.

### 2. FOR CORPORATE INVESTORS:

- 2.1. An original certified true copy of Certificate of Incorporation/Registration and evidence of Good Standing.
- 2.2. An original certified true copy of Memorandum & Articles of Association or By-Laws (or the equivalent).
- 2.3. Details of the registered office and the address from which the business is transacted.
- 2.4. Nature of the business of the company.
- 2.5. An original certified true copy of Registers of Members/Shareholders/Investors showing addresses and amounts or percentages of contributions.
- 2.6. An original certified true copy of Register of Directors (if directors are appointed).
- 2.7. Where bearer shares are issued, please provide details on the current beneficial owner and safekeeping arrangement.
- 2.8. A copy of structure chart, showing holdings up to the ultimate beneficial owners and identifying the percentage holding of each such ultimate beneficial owner (if applicable).
- 2.9. Where applicable, an original certified true copy of an authorised signatory list (if any) with specimen signatures of the authorised signatories and signing mandate, or if none, certified true copy(ies) of Board Resolution(s) or other evidence of authority of persons representing the Corporation.
- 2.10. A copy of audited financial statements (if prepared), or if none, a copy of latest financial statements, or document supporting the source of funds being invested.
- 2.11. Individual identification documents referred to in Section 1 of this Annexure in respect of each of the directors, all authorised signatories, all ultimate principals and all beneficial owners (where applicable).
- 2.12. Individual identification documents referred to in Section 1 of this Annexure, in respect of beneficial owners, may not be required in circumstances where the corporation is a government entity or is listed on a stock exchange.

### 3. FOR MUTUAL FUNDS:

- 3.1. An original certified true copy of the most recent offering memorandum.
- 3.2. Documentation supporting the source of funds being invested.
- 3.3. If the fund manager is not a financial institution (FI) or is an FI but not subject to and supervised for compliance with the AML/CFT requirements consistent with standards set by the FATF, the documents to be provided are based on the type of entity (corporate, partnership) as indicated in this Annexure. Otherwise, refer to documents under Section 6 of this Annexure.

### 4. FOR LIMITED PARTNERSHIPS:

- 4.1. An original certified true copy of Certificate of Registration and evidence of Good Standing.
- 4.2. An original certified true copy of Limited Partnership Agreement.
- 4.3. Details of the registered office and the address from which the business is undertaken.
- 4.4. Nature of the business of the Limited Partnership.
- 4.5. An original certified true copy of the Register of Limited Partnership Interests.
- 4.6. Individual identification documents referred to in Section 1 of this Annexure in respect of all partners, authorised representatives or persons exercising executive control.
- 4.7. Corporate identification documents referred to in Section 2.1 and 2.2 of this Annex in respect of any institutional partners, and individual identification documents referred to in Section 1 of this Annexure in respect of authorised representatives or natural persons exercising executive control in the aforementioned institutional partners.
- 4.8. Partnership authorisation of transaction.
- 4.9. An original certified copy of the authorised signatory list with specimen signatories of authorised signatories and signing mandate.
- 4.10. A copy of the Partnership’s audited financial statements (if prepared), or if none, a copy of the Partnership’s latest financial statements, or document supporting the source of funds being invested.



5. **FOR TRUSTS:**

- 5.1. An original certified copy of the Trust Deed or other satisfactory evidence of the Trustee relationship.
- 5.2. An explanation as to general nature of the Trust.
- 5.3. Full name of the Trust relevant party in relation to the Trust. Trust relevant party means the settlor, the trustee, beneficiary(ies) of the Trust or any person who has any power over the disposition of any property that is subject to the Trust.
- 5.4. Individual identification documents referred to in Section 1 of this Annexure if the Trust relevant party is an individual.
- 5.5. If the Trust relevant party is a legal person, the documents to be provided are based on the type of entity (corporate, regulated financial institution, mutual fund, partnership) as indicated in Section 2 to Section 4 of this Annexure.
- 5.6. Documentation supporting the confirmation on the source of funds being invested. Additional steps may need to be taken to verify information regarding the source of funds or wealth with respect to the Trust. This may include the origin of the settlor's wealth as well as identifying the source of income that the Trust is receiving.
- 5.7. An original certified copy of the authorised signatory list with specimen signatures of the authorised signatories and signing mandate.

In circumstances where the appropriate identification checks have already been undertaken by a regulated trust company in a country, which is subject to disciplinary action or sanctions for failure to comply with the anti-money laundering laws of that country, a letter of undertaking from that trust company, in lieu of obtaining the identification documents of the underlying beneficial owners described above, is acceptable. The letter of undertaking should confirm that (a) it is subject to disciplinary action or sanctions for failure to comply with the anti-money laundering laws of that country where the AML/CFT requirements are consistent with standards set by the FATF, (b) the underlying beneficial owners have been identified, and (c) anti-money laundering checks have been carried out to the FATF standards on the underlying investors/beneficial owners in the investing fund.

6. **FOR REGULATED FINANCIAL INSTITUTIONS IN JURISDICTIONS THAT ARE MEMBERS OF FATF (Other than those holding a money changer's licence or a remittance licence)**

- 6.1. Independent evidence that the financial institution is licensed and the jurisdiction where the financial institution is located.
- 6.2. A certified true copy(ies) of an authorised signatory list (if any) with specimen signatures of the authorised signatories and signing mandate, or if none, a certified true copy(ies) of Board Resolution(s) or other evidence of authority of persons representing the financial institution.
- 6.3. Individual identification documents referred to in Section 1 of this Annexure in respect of the natural persons having executive authority to open or maintain the account with Foord.
- 6.4. Where a financial institution is subscribing on behalf of its client, an AML comfort letter confirming that (a) the financial institution is regulated, subject to and supervised for compliance with the AML/CFT requirements consistent with standards set by the FATF, (b) the underlying investors including beneficial owners have been identified, and (c) anti-money laundering checks have been carried out to the FATF standards on the underlying investors/beneficial owners in the investing fund.
- 6.5. Documentation supporting the source of funds being invested may be requested.

**TRANSLATION AND CERTIFICATION OF DOCUMENTS**

Where documents are not in English, a certified translation must also be provided which is sufficient to ensure that the document is clearly understood.

Where documents are not provided in original form, original certified true copies can be accepted if certified in accordance with the below guidance and by a suitable certifier, such as an accountant, a notary public, an independent legal professional, or a director/senior management employee of a regulated financial institution that is in countries or jurisdictions which are members of the Financial Action Task Force (FATF). Certification should include the following wording:

**PHOTOGRAPHIC IDENTIFICATION:**

"I certify that I have seen the original documentation and the copy documentation hereby represents a complete and accurate copy of the original identity documentation and is a true likeness of the person whom I have met."

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Professional title \_\_\_\_\_  
Date \_\_\_\_\_  
Telephone \_\_\_\_\_  
Email \_\_\_\_\_

**OTHER DOCUMENTS:**

"I certify that I have seen the original documentation and that the copy documentation hereby provided represents a complete and accurate copy of the original."

Signature \_\_\_\_\_  
Name \_\_\_\_\_  
Professional title \_\_\_\_\_  
Date \_\_\_\_\_  
Telephone \_\_\_\_\_  
Email \_\_\_\_\_

**Foord reserves the right to request additional documents and information required before acceptance of this investment subscription form.**

## ANNEXURE 5: REMITTANCE DETAILS

Please arrange with your bank for remittance of the subscription funds denominated in US dollars to the following account:

Beneficiary bank name	RBC Investor Services Bank S.A
Beneficiary bank SWIFT code (BIC/bank ID)	FETALULLXXX
Beneficiary's name	FOORD ASSET MGT (GUERNSEY)-COLL.ACC.
Beneficiary's account number (IBAN)	LU85 3414 4200 5007 0200
Payment reference details (mandatory)	Investor number, ISIN code, and subscription amount

- NOTES
- To avoid delays, ensure that the funds transferred are for the value reflected in the Subscription Instruction.
  - Bank charges are borne by the investor.
  - Incomplete information may result in processing delays or rejection of payments.
  - Subscription funds may also be paid in GBP or EUR. Please contact Foord for the relevant remittance details.

### SWIFT message 50 details

If the remitting bank is outside the European Union, the remitting bank must provide additional details regarding the investor account in the SWIFT message tag 50:

- Account number
- Account name
- Account owner address, or
  - official Identity number or
  - client number or
  - date and place of birth

### Other useful information

Correspondent/intermediary bank name	Bank of America, N.A
Correspondent/intermediary SWIFT code	BOFAUS3NXXX
Correspondent/intermediary bank address	33rd Street, West 100001, New York, 100, USA
Beneficiary bank address	14, Porte de France, L-4360 Esch sur Alzette, Luxembourg

## ANNEXURE 6: ENTITY SELF CERTIFICATION

### EXPLANATORY NOTE ON ENTITY'S SELF CERTIFICATION UNDER APPLICABLE TAX REGULATIONS

There are often several definitions available for a term (eg: such as 'Investment Entity') under the various Intergovernmental Agreements, OECD and US Regulations, and jurisdictional guidance. The notes below are intended as a guide only for our investors and the list is non-exhaustive. You may choose to refer to the relevant tax legislations (i.e. IRS' website (<https://www.irs.gov/Forms-&-Pubs>) on FATCA or OECD's website (<https://www.oecd.org/tax/automatic-exchange/>) on CRS); or to your home jurisdictions Intergovernmental Agreements and accompanying Guidance Notes.

- 1.1 "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force ("FATF") Recommendations.
- 1.2 "Control" over an entity is generally exercised by the natural persons who ultimately has a controlling ownership interest in the entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercise control through ownership interests, the Controlling Person(s) of the entity will be the natural person(s) who exercises control of the entity through other means. Where no natural person(s) is identified as exercising control of the entity, the Controlling Person(s) of the entity will be the natural person(s) who holds the position of senior managing official.

Note: For FATCA purpose, the "substantial U.S. owner" refers to a US person with more than 10% interest by vote or value in a foreign corporation, partnership or trust.

#### Financial Institution

- 1.3 "Financial Institution ("FI")/ Foreign Financial Institution ("FFI") generally means a Custodial Institution, a Depository Institution, an Investment Entity or a Specified Insurance Company.  
"Non-Financial Entity ("NFE")" means any Entity that is not a Financial Institution.
- 1.4 "Specified US Person" means a US Person, other than:
  - (i) A corporation, the stock of which is regularly traded on one or more established securities markets
  - (ii) Any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the US Internal Revenue Code, as a corporation described in clause (i);
  - (iii) The United States or any wholly owned agency of instrumentality thereof;
  - (iv) Any State of the United States, any US Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (v) Any organisation exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37) of the US Internal Revenue Code;
  - (vi) Any bank as defined in section 581 of the US Internal Revenue Code;
  - (vii) Any real estate investment trust as defined in section 856 of the US Internal Revenue Code;
  - (viii) Any regulated investment company as defined in section 851 of the US Internal Revenue Code or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
  - (ix) Any common trust fund as defined in section 584(a) of the US Internal Revenue Code;
  - (x) Any trust that is exempt from tax under section 664(c) of the US internal Revenue Code;
  - (xi) A dealer in securities, commodities or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or
  - (xii) A broker as defined in section 6045(c) of the US Internal Revenue Code.
- 1.5 The term "Exempt beneficial owner" means:
  - (i) A governmental organisation;
  - (ii) A governmental organisation; An international organisation (examples of which include The International Monetary fund, The World bank, The International Bank for Reconstruction and Development and The European Community – for full list please see the relevant guidance issued by HMRC, or the IRS);
  - (iii) A Central Bank;
  - (iv) A Guernsey, broad or narrow participation retirement fund falling within the definition of Exempt Beneficial Owner for the purposes of FATCA; or
  - (v) A pension fund of, or an investment entity wholly owned by organisations listed in criteria (i) to (iii).
- 1.6 The term "Deemed Compliant FFI" means a FFI that is exempt from withholding without entering into an IRS agreement, including:
  - (vi) Registered deemed-compliant – a FFI that registers with the IRS to declare its status. This includes certain local banks, non-reporting members of participating FFI groups, qualified collective investment vehicles, restricted funds, and FFIs that comply with FATCA requirements under an agreement between the US and a foreign government.
  - (vii) Certified deemed-compliant – An FFI that is not required to register with the IRS and certifies its status by providing a withholding agent with a valid Form W-8. This includes non-registered local banks, retirement plans, non-profit organizations, FFIs with only low-value accounts, and certain owner-documented FFIs.
- 1.7 "Participating Jurisdiction" means a jurisdiction which has an Intergovernmental agreement ("IGA") with in place to exchange information in accordance with the OECD Common Reporting Standard ("CRS") or Foreign Account Tax Compliance Act ("FATCA"), where applicable.  
A Participating FI/ FFI is one residing in a participating jurisdiction. In the case of FATCA, a Participating FFI also includes a FFI which report information directly to the Internal Revenue Service ("IRS") under the Model 2 IGA. A Participating FI/FFI, however, does not include any entity that has subsequently been judged to be a Non-Participating FI/FFI.

1.8 "Investment Entity" means an Entity:

- Which primarily conducts as a business in one or more of the following activities or operations for or on behalf of a customer:
  - Trading in money market instruments (cheques, bills, certificate of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity future trading;
  - Individual and collective portfolio management; or
  - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- The gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in Section VIII of the CRS ("Defined Terms").

An Entity is treated as primarily conducting as a business one or more of the activities described in the Defined Terms, or an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of the Defined Terms, if the Entity's gross income attributable to the relevant activities equals or exceeds 50 % of the Entity's gross income during the shorter of:

- the three-year period ending on 31 December of the year preceding the year in which the determination is made; or
- the period during which the Entity has been in existence.

The term "Investment Entity" does not include an Entity that is an Active NFE because that Entity meets any of the criteria in the Defined Terms. This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the FATF Recommendations.

**Non-Financial Institution**

1.9 A Passive NFE is any Non-Financial Entity that is not an Active NFE. In the case of CRS, an entity that is residing in non-participating jurisdiction will be treated as equivalent to a Passive NFE and will be looked through to its controlling persons (i.e. An Investment Entity).

2.0 Active NFE means any NFE that meets any of the following criteria:

- (i) less than 50 % of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 % of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (ii) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- (iii) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- (iv) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFE
- (v) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE
- (vi) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution
- (vii) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution
- (viii) the Entity is a non-profit organization, which meets ALL of the following criteria:
  - it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
  - it is exempt from income tax in its country of residence;
  - it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - the applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
  - the applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

Under FATCA, an Active NFE includes the NFE which is organised in a US Territory and all the owners of the payee are bona fide residents of that US Territory

## ANNEXURE 7: PRODUCT INFORMATION

	FOORD SICAV - FOORD INTERNATIONAL FUND	FOORD SICAV - FOORD GLOBAL EQUITY FUND (LUXEMBOURG)
Country of Domiciliation and Contract Governing Law	Luxembourg	Luxembourg
Share/ Unit Class	CLASS R, ISIN LU1089177924	CLASS R, ISIN LU2239867901
Initial, Exit and Switching Fees	0.0%	0.0%
Management Fee (Minimum)	1.00%	0.85%
Management Fee (Maximum)	1.00%	Uncapped
Performance Fee Sharing Rate	N.A.	15% of the money-weighted outperformance
Other Charges Against Income of the Portfolio	Depository fee, Audit fees and other professional fees and applicable taxes Annual subscription tax (taxed'abonnement) Regulatory fees Brokerage and clearing fees, taxes and governmental duties and charges	Depository fee, Audit fees and other professional fees and applicable taxes Annual subscription tax (taxed'abonnement) Regulatory fees Brokerage and clearing fees, taxes and governmental duties and charges
Benchmark	N.A.	MSCI All Country World Net Total Return Index
Total Expense Ratio	The total expense ratio (TER) of a portfolio, which is set out in the latest Fund Factsheet, is a measure of a portfolio's annual expenses, fees and charges, expressed as a percentage of the average daily value of the portfolio. These expenses include the annual fee, VAT, audit fees, bank charges and costs incurred in any underlying funds. Included in the TER, but separately disclosed, is a performance fee (or credit) resulting from overperformance (or underperformance) against the benchmark. A higher TER ratio does not necessarily imply a poor return, nor does a low TER imply a good return. The current TER cannot be regarded as an indication of future TERs. Performance return information and prices are always stated net of the expenses, fees and charges included in the TER.	
Mandate Restrictions	<ul style="list-style-type: none"> <li>Complies with Luxembourg UCITS regulations as further detailed in the Prospectus.</li> <li>Maximum 20% of portfolio in UCITS or other UCIs</li> <li>Maximum 10% of portfolio in sub-investment grade fixed- interest securities</li> <li>Borrowing, limited to 10% of portfolio, is permitted to accommodate redemption requests only</li> <li>Derivatives may be used to protect the fund, on a prudent basis, against adverse currency or security price movements</li> <li>May not invest in a security that compels the acceptance of physical delivery of a commodity</li> </ul>	<ul style="list-style-type: none"> <li>Complies with Luxembourg UCITS regulations as further detailed in the Prospectus.</li> <li>Maximum 20% of portfolio in UCITS or other UCIs</li> <li>Maximum 10% of portfolio in sub-investment grade fixed- interest securities</li> <li>Borrowing, limited to 10% of portfolio, is permitted to accommodate redemption requests only</li> <li>Derivatives may be used to protect the fund, on a prudent basis, against adverse currency or security price movements</li> <li>May not invest in a security that compels the acceptance of physical delivery of a commodity</li> </ul>
Income Distributions	Accumulating Shares	Accumulating Shares
Portfolio Orientation	Investment in global equities, warrants, exchange traded funds, UCITS and other UCIs, interest-bearing securities (collectively "international securities") and cash instruments	To achieve optimum risk adjusted total return by investing primarily in a diversified portfolio of global equities
Risk of Loss	Generally medium to long term investments and are subject to investment risks, including the possible loss of the principal amount invested	

	<b>FOORD SICAV - FOORD INTERNATIONAL FUND</b>	<b>FOORD SICAV - FOORD GLOBAL EQUITY FUND (LUXEMBOURG)</b>
Return Objective	To achieve meaningful long-term inflation-beating US\$ returns over rolling five-year periods. Refer Prospectus for full description of the investment objective, policy and strategy	To achieve a higher total rate of return than the benchmark, without assuming greater risk.
Suitable Investors	Investors requiring a UCITS accredited fund with exposure to a balanced but conservatively managed portfolio of international securities and cash instruments	investors requiring a UCITS accredited fund managed to provide long-term growth from a portfolio of global equities.
Initial and Subsequent Investment Amount	US\$10 000 or equivalent	US\$10 000 or equivalent
Offering Documents (available free of charge on <a href="http://www.foord.com">www.foord.com</a> )	Prospectus Key Investor Information Document (KIID) Minimum Disclosure Document (MDD) and Schedule of Similarities and Differences - For South African investors only. Product Highlights Sheet (PHS) - For Singaporean investors only	Prospectus Key Investor Information Document (KIID) Minimum Disclosure Document (MDD) and Schedule of Similarities and Differences - For South African investors only.
Investment Manager	Foord Asset Management (Guernsey) Limited	Foord Asset Management (Guernsey) Limited
Sub-Investment Manager	Foord Asset Management (Singapore) Pte. Limited	Foord Asset Management (Singapore) Pte. Limited
Depository/ Custodian	RBC Investor Services Bank S.A	RBC Investor Services Bank S.A
Fund Administrator		
Registrar and Transfer Agent		
Management Company/ Trustee	Lemanik Asset Management S.A	Lemanik Asset Management S.A

N.A = Not applicable