

# First Sentier Investors Global Umbrella Fund plc (“Company”)



(an umbrella fund with segregated liability between subfunds)

## Redemption form

Please ensure that you complete all relevant sections on this form. (\*Optional fields, in the case of daytime or evening telephone numbers at least one number must be provided).

**Return the form to HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland, or send it by fax to +353 1 649 7560.** Terms defined in the prospectus of the Company (“Prospectus”) shall, unless the context requires otherwise, bear the same meaning herein. Due to the closure of certain stock markets and regulated markets we invest in, a number of our funds may have additional non-dealing days, to align the days on which investors are able to subscribe, redeem and/or otherwise deal in a Fund with its ability to calculate the relevant net asset value and/or dispose of the relevant Fund assets.

### 1. Personal details

Account Number

Please provide your full name and address.

If shares are jointly held you should provide name and address details of the shareholder to which the shares are registered. All shareholders must sign this form.

Title  Surname

Forename(s) in full

Permanent address

Postcode

\*Telephone (daytime)

Country Code Area Code Tel

\*Telephone (evening)

Country Code Area Code Tel

\*Email address

Date of birth

Country of birth

City/Town of birth

### 2. Dealing instructions

I/We wish to redeem the following shares at the first available valuation point following receipt of this form by First Sentier Investors (UK) Funds Limited in accordance with the Prospectus.

A minimum balance must be maintained in each Fund after any partial withdrawal, otherwise an investor may be required to redeem their entire shareholding in the Fund. The applicable minimum balances can be viewed in the Prospectus or are available on request.

Full Name of the Fund	Share type (please tick)		Class (please tick)							Cash amount (please write the cash amount or number of shares)	OR	Number of shares
	DIS	ACC	I	III	IV	V	VI	E	F			
<input type="text"/> Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/> Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/> Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/> Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/> Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>

### 3. Redemption payment information

We will only make payment by telegraphic transfer to the bank account specified in the original application form or in Section 4 below provided you send the Administrator/First Sentier Investors (UK) Funds Limited the original redemption form. Where redemptions requests are received by fax, payment will be made only to the account of record. No third party payments will be made.

Any expenses or costs incurred in currency conversion and remittance by telegraphic transfer will be borne by the redeeming shareholder(s).

Please provide bank details in section 4 below.

## 4. Bank details

Name of Bank or Building Society	<input type="text"/>	Name of account holder	<input type="text"/>
Bank/Building Society address	<input type="text"/>	Account no.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	<input type="text"/>	Sort Code	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
Postcode	<input type="text"/>	Swift Code	<input type="text"/>
		IBAN (If any)	<input type="text"/>
		Correspondent Bank (If applicable)	<input type="text"/>
		SWIFT/ABA Code*	<input type="text"/>
		Beneficiary Bank Name	<input type="text"/>
		Beneficiary Bank Account Number	<input type="text"/>
		Further Credit/Sub Account Name	<input type="text"/>
		Further Credit/Sub Account Number	<input type="text"/>

\* Mandatory if correspondent bank provided.

## 5. Signature(s) and declaration

Please read the declaration below before you sign and date this redemption form. By signing you make the declaration shown below and confirm that you have read this form and the separate key investor information document ("KIID") for the fund(s) in which you wish to have chosen to redeem shares.

I/We declare that:

- if this form is signed under Power of Attorney, a copy of the Power of Attorney must be furnished in support of the signature.
- sole signatories signing on behalf of a company confirm that they are signing as a sole director or sole company secretary of the company.

I/We understand that selling shares not held in an ISA could give rise to a liability to capital gains tax.

If you are not the registered shareholder please insert the capacity in which you are signing e.g. Attorney, Administrator or Executor.

### Anti-Money Laundering Declarations

1. I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require verification of my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner<sup>1</sup> on a risk sensitive basis and the ongoing monitoring of my/our business relationship with the Company. I/We further acknowledge that the Administrator reserves the right not to issue Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner. I/We acknowledge that the Administrator shall be indemnified and held harmless by me/us against any loss arising as a result of a failure to process my/our application for Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us.
2. I/We acknowledge that I/we must disclose to the Fund and Administrator, both at the time of initial subscription into the Fund and upon any change thereafter, any Shareholder or person or entity or beneficial owner that is or is acting, directly or indirectly for the Shareholder who is a politically exposed persons ("PEP")<sup>2</sup>, and immediate family members<sup>3</sup>, and close associates<sup>4</sup> of such persons.
3. I/We acknowledge that the [Fund/Company] or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a Shareholder if any of the Directors of the [Fund/Company] or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the [Fund/Company], its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.
4. I/We understand and agree that the [Fund/Company] prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organisations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time or named on the list of prohibited countries, territories, entities and individuals in the Official Journal of the European Union, or (iii), for a shell bank<sup>5</sup> (such persons or entities in (i) - (iii) are collectively referred to as "Prohibited Persons").
5. I/We represent, warrant and covenant that: (i) I/we am/are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners, (a) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (b) based on such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (c) I/we hold the evidence of such identities and status and will maintain all such evidence for at least five years from the date of my/our complete redemption from the [Fund/Company], and (d) I/we will make available such information and any additional information that the [Fund/Company] and/or Administrator may require upon request.
6. I/We understand and agree that the Fund further prohibits the investment of funds by any PEP and immediate family members, and close associates of such persons, unless the Fund, in conjunction with the Administrator, after being specifically notified by me/us in writing that I/we am/are such a person, conducts further due diligence, and determines that such investment shall be permitted.
7. If any of the foregoing representations, warranties or covenants ceases to be true or if the [Fund/Company] and/or Administrator no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the [Fund/Company] and/or Administrator may be obligated to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the [Fund/Company], and the [Fund/Company] and/or the Administrator may also be required to report such action and to disclose my/our identity to OFAC or other authority. In the event that the [Fund/Company] and/or the Administrator is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the [Fund/Company], the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.
8. I/We understand and agree that any redemption proceeds paid to me/us will only be paid to the account of record. Furthermore, I/we understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.
9. I/We agree to indemnify and hold harmless the [Fund/Company], the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section.

10. I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from the applicant any such other or additional documentation from that outlined below when it deems it appropriate to do so to enable the Administrator to determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering and terrorist financing verification status on a risk sensitive basis and the applicant shall provide to the Administrator from time to time such information as may reasonably be requested. Each person acquiring Shares in the [Fund/Company] must satisfy the foregoing both at the time of initial subscription and at all times thereafter until such person cease to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing and/or below information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.

<sup>1</sup> A beneficial owner means any individual who ultimately owns or controls at least 25% of the Shareholder or otherwise exercises control over the management of the Shareholder.

<sup>2</sup> A PEP is defined as an individual who is, or has been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

(a) a specified official

(b) a member of the administrative, management or supervisory body of a state-owned enterprise.

A "specified official" is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body):

(a) a head of state, head of government, government minister or deputy or assistant government minister;

(b) a member of a parliament;

(c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;

(d) a member of a court of auditors or of the board of a central bank;

(e) an ambassador, chargé d'affairs or high-ranking officer in the armed forces.

<sup>3</sup> An "immediate family member" includes any spouse, child, parent, brother or sister of a PEP, any person considered to be equivalent to a spouse under the national or other law of the political of the place where the person or PEP resides or any spouse of a child of the PEP.

<sup>4</sup> A "close associate" of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of the PEP.

<sup>5</sup> "Shell bank" means a credit institution (or a body corporate that is engaged in activities equivalent to a credit institution) that—

(a) does not have a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated,

(b) is not authorised to operate, and is not subject to supervision, as a credit institution (or equivalent) in the jurisdiction in which it is incorporated, and

(c) is not affiliated with another body corporate that—(i) has a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated, and (ii) is authorised to operate, and is subject to supervision, as a credit institution or an insurance undertaking, in the jurisdiction in which it is incorporated.

**Please note, in the case of joint holdings all shareholders must sign this form.**

**First shareholder** (named in section 1 of this form)

Title (Mr/Mrs/Miss/Ms/Other)

Forename(s) in full

Surname

Signature

Date

**Second shareholder** (if applicable)

Title (Mr/Mrs/Miss/Ms/Other)

Forename(s) in full

Surname

Signature

Date

## 6. Return the form to First Sentier Investors by posting to:

HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland

Instructions received and accepted by First Sentier Investors before 10.00 am (Irish time) will be processed using the applicable price calculated at the 11.00 am valuation point. Instructions received and accepted by First Sentier Investors after 10.00 am (Irish time) will be processed using the applicable price calculated at the next available valuation point.

Redemption proceeds will be paid by the Company within three to seven Business Days of the acceptance of the redemption request.

For further information please contact our Client Service team:

**If you wish to contact us:**

HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland,

Phone: +353 1 635 6798

Fax: +353 1 649 7560

9.00 am to 5.30 pm (UK time) Monday to Friday except for bank holidays in Ireland, the last business day before Christmas and other days as the Directors of the Company may determine.