

# First Sentier Investors Global Umbrella Fund plc ("Company")



(an umbrella fund with segregated liability between subfunds)

## Top Up form for Retail Investors

Minimum investment levels for our funds can be viewed in the Prospectus, fund Factsheets or are available on request.

Please use this form to top-up an existing account. If you want to open a new account please use the appropriate application form before completing this form.

**PLEASE NOTE: Any applications received that are not completed correctly may incur delays or may have to be returned to you.**

Before completing this form, please read the statement on the use of customer information. Please ensure that you complete all relevant sections on this form, including the reverse. **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.** (\*Optional fields, in the case of daytime or evening telephone numbers at least one number must be provided). 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.

### IMPORTANT – FOR COMPLETION BY IFAS

If there was a face-to-face meeting between the retail customer and you as IFA, and you have offered to that customer the right to withdraw (i.e. cooling-off) this box must be ticked (if the box is not ticked, the customer will not have the right to withdraw): ☐

Adviser's stamp	Based on the information provided in this application form, commission payable to the adviser is as follows:  Initial – \$ / %  Renewal – \$ / %
IF YOU HAVE NOT COMPLETED A TERMS OF BUSINESS AGREEMENT PLEASE COMPLETE THE AGENT'S DISCLOSURE OVERLEAF	
FSA no.	Agent no.

## 1A. Client details

Please provide your full name and address.

### First applicant

Title	<input type="text"/>	Surname	<input type="text"/>
Forename(s) in full	<input type="text"/>		
Nationality	<input type="text"/>		
Citizenship	<input type="text"/>		
(Please detail all countries of Citizenship)			
Permanent address	<input type="text"/>		
	<input type="text"/>		
	Postcode <input type="text"/>		
*Telephone (daytime)	Country Code <input type="text"/>	Area Code <input type="text"/>	Tel <input type="text"/>
*Telephone (evening)	Country Code <input type="text"/>	Area Code <input type="text"/>	Tel <input type="text"/>
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Birth	<input type="text"/>		
City/Town of Birth	<input type="text"/>		
Email address	<input type="text"/>		
Designation	<input type="text"/>		

### Account number

(This must be the account number you wish to top-up)

If you have joint holders linked to this account, please mark an X in this box. ☐

If you have joint holders linked to this account, the top-up investment will be made on the same basis.

Please confirm your consent to receiving the PRIIP Key Information Document or, if you are a UK investor, the UCITS Key Investor Information Document\*\* in PDF format by marking an X in this box. ☐

The PRIIP Key Information Document and UCITS Key Investor Information Document can be accessed at [www.firstsentierinvestors.com](http://www.firstsentierinvestors.com) under 'Performance and documents'.

If you wish to receive a paper copy of the PRIIP Key Information Document or, if you are a UK investor, the UCITS Key Investor Information Document, relating to this investment, please mark an X in this box. ☐

**Should you choose to receive the PRIIP Key Information Document or UCITS Key Investor Information Document in paper format only you hereby acknowledge that you may not receive the PRIIP Key Information Document or UCITS Key Investor Information Document in advance of this application being processed and hereby consent to the processing of this application in the absence of receiving same.**

## 1B. Adviser details (e.g.: adviser investing on behalf of his/her clients)

Name	<input type="text"/>
Contact person (full name)	<input type="text"/>
	<input type="text"/>
Telephone	Country Code <input type="text"/> Area Code <input type="text"/> Tel <input type="text"/>
Email address	<input type="text"/>
Existing client no. (if applicable)	<input type="text"/>
Fax	Country Code <input type="text"/> Area Code <input type="text"/> Tel <input type="text"/>

Place of incorporation	<input type="text"/>
Correspondence address	<input type="text"/>
	<input type="text"/>
	Postcode <input type="text"/>
Country	<input type="text"/>
Designation	<input type="text"/>

\*\* The KID is a pre-contractual disclosure document that is intended to inform retail investors of the main features of the product, as well as the risks, costs, potential gains and losses associated with investment in that product, as required under EU Regulation No. 1286/2014. Please note that UK investors will not be provided with this document and will instead be provided with a Key Investor Information Document, as required under Directive 2009/65/EC.

2. Investment details

Please indicate which fund you wish to invest in (each being referred to as a “Fund”, with shares (of whatever class) in each Fund being referred to as “Shares” in this form). Minimum investment levels for our funds can be viewed in the Prospectus, fund Factsheets or are available on request. Please state which share class you wish to invest in. In the absence of agreement to the contrary, your investment will be made in Share Class I in each Fund. All shares will be issued in non-certified form.

Fund	Amount*	Currency	Class I	
			Dis	Acc

\*Please note that payment must be made in the same currency as the share class you have selected.

3. Payment details

Please state clearly on the remittance advice “Re – name of Fund” and “Ref – name of applicant”

For remittances:

Currency	Correspondent Bank		Beneficiary Bank			
	Name	Swift Code	Name	Swift Code	Account Name	Account IBAN
USD	HSBC Bank USA, N.A.	MRMDUS33	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs USD HBCE IE	FR7630056005480548003098473
AUD	HSBC Bank Australia Ltd	HKBAAU2SSYD	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs AUD HBCE IE	FR7630056005480548003104293
CHF	UBS	UBSWCHZH80A	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs CHF HBCE IE	FR7630056005480548003106815
Euro			HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs EUR HBCE IE	FR7630056005480548003100122
GBP	HSBC Bank plc, London	MIDLGB22	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs GBP HBCE IE	FR7630056005480548003099734
HKD	HSBC Hong Kong	HSBCHKHHHKH	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs HKD HBCE IE	FR7630056005480548003102741
JPY	Hong Kong & Shanghai Banking Corp Tokyo	HSBCJPJT	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs JPY HBCE IE	FR7630056005480548003101480
RMB	HSBC Hong Kong	HSBCHKHHHKH	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs RMB HBCE IE	FR7630056005480548003109628
SGD	HSBC Singapore	HSBCSGSG	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs SGD HBCE IE	FR7630056005480548003108367
SEK	SEB Stockholm	ESSESESS	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs SEK HBCE IE	FR7630056005480548003110792
CAD	HSBC Bank Canada	HKBCCATT	HSBC Continental Europe	CCFRFRPP	FSIGUF Plc Subs CAD HBCE IE	FR7630056005480548003105554

4. Income (if applicable)

This section should be completed only if you have selected Distribution units/shares (indicated “Dis” in your Fund Selection) and you wish the income to be paid to you. Please note that your choice will supersede any decision taken in the Application Form. If this section is not completed, any income generated from your investment will automatically be reinvested.

- ☐ I wish to have income paid as per my existing income payment mandate
- OR
- ☐ I wish all income I have requested to be paid, to go to my Bank or Building Society account (please complete below)

Name of bank or building society

Bank/Building Society address

Postcode

Name of account holder

Account number

Sort Code

Swift Code

IBAN (If any)

Correspondent Bank (If applicable)

SWIFT/ABA Code\*

Beneficiary Bank Name

Beneficiary Bank Account Number

Further Credit/Sub Account Name

Further Credit/Sub Account Number

\*Mandatory if correspondent bank provided.

5. Your signature and declaration

Please read the declaration below before you sign and date this top up 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 share class(es) in which you have chosen to invest.

## Declaration: To the Company

### I/We declare that:

- I am/We are aged 18 or over;
  - I/We have checked the information about me in this form and otherwise provided by me and it is correct to the best of my/our knowledge and belief.
  - I/We undertake to notify the First Sentier Investors (UK) Funds Limited of any changes to the information as soon as reasonably possible;
  - Unless otherwise specified I am/We are not a (i) "Specified United States Person" under the tax laws of the U.S.\*\*\* or a non-U.S. entity with one or more Specified United States Persons as "substantial United States owners" defined in the U.S. Tax Withholding and Reporting regulations under the Foreign Account Tax Compliance Act ("FATCA") or (ii) "Controlling Persons" for the purposes of CRS.
- \*\*\* For this purpose, a "Specified United States Person" will include, subject to certain exceptions, (A) an individual who is a citizen or resident of the U.S., (B) a partnership or corporation (including any entity treated as a partnership or corporation for U.S. tax purposes, such as a limited liability company) organised in or under the laws of the U.S. or any state of the U.S. thereof (including the District of Columbia), (C) any estate the income of which is subject to U.S. tax regardless of its source, and (D) any trust if (i) a court within the U.S. is able to exercise primary supervision over the administration of the trust and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.
- I/We declare that I/we do not intend to sell or transfer any Shares which I/we may purchase to any person who is a Specified United States Person.
  - I/We are not a person resident or otherwise located in Canada.

### I/We agree and consent:

- to First Sentier Investors (UK) Funds Limited contacting me/us at the email address stated overleaf;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a US Person or holding on behalf or for the benefit of a US Person;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a specified United States person;
- to notify First Sentier Investors (UK) Funds Limited immediately on becoming a person resident or otherwise located in Canada;
- not to transfer Shares to a US Person or a person who will hold the Shares on behalf or for the benefit of a US Person;
- to compensate First Sentier Investors (UK) Funds Limited and the Company for any losses or expenses arising in connection with a breach of the above declarations and agreements.
- to compensate First Sentier Investors (UK) Funds Limited, the Company and the Manager and their respective agents from time to time for any losses or expenses arising in connection with a breach of the above declarations and agreements and/or my/our actions or failure to provide any information or documents requested by any of them to comply with the AEOL regimes or other laws or regulations.
- to provide on request in a timely manner any information or documentation in relation to myself/ourselves as may be necessary or desirable for the Company (or its agents) to comply with any reporting or other obligations and/or prevent the withholding of tax under the AEOL regimes.

### I/We declare and agree:

- I/We acknowledge that the Company may, in accordance with the provisions of the Prospectus compulsorily redeem my/our shares in the Fund(s) if I/we acquire or are holding such units in breach of the requirements or in the circumstances detailed in the Prospectus of the Fund(s), whether at the point of my/our investment or thereafter; and I/We undertake to observe and be bound by any such decision by the Company and agree that the Company/Investment Manager/Manager shall not assume liability for any losses arising from a compulsory redemption of any of my/our shares in the Fund.
- I/We confirm that all the information made by me/us in this Application Form and as otherwise provided by me/us to the Company/Investment Manager/Manager shall remain valid and I/we also undertake to immediately notify the Company/Investment Manager on any changes to such information.
- I/We acknowledge that if I/we provide information and documentation that is in any way misleading, or fail to provide the Company (and/or its agents) with the requested information and documentation necessary in either case to satisfy the Company's obligations under the AEOL regimes, the Company reserves the right: to take any action and/or pursue all remedies at its disposal.
- I/We acknowledge that the Investment Manager will treat me/us as a retail client under the FCA's categorisation rules.
- I/We confirm that all the information made by me/us in this Application Form shall remain valid and I/we also undertake to immediately notify you in writing if there is any change in my/our registration details above in the subsequent years.
- I/We acknowledge that the KIID can be obtained from the website [www.firstsentierinvestors.com](http://www.firstsentierinvestors.com) or hard copies can be obtained by contacting Client Services on 0800 917 1717 (+44 131 525 8872) and consent to being provided with the KIID in this form via the website.
- I/We have received and read the KIID for the relevant share class.
- I/We acknowledge that I/we have been offered the choice of receiving the Prospectus and the KIID on paper and in electronic form by means of a website or by email and I/we hereby specifically consent to receiving the KIID in electronic form by way of accessing the latest version of the document online at [www.firstsentierinvestors.com](http://www.firstsentierinvestors.com) (or such other website address as may be notified to me/us from time to time).
- I/We hereby acknowledge that I/we have received or accessed by electronic means the KIID for the relevant share class.

### 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 6780  
Fax: +353 1 649 7560

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

## Use of Customer Information

First Sentier Investors Global Umbrella Fund plc (the "Company", "we" or "us") or its agents or third party administrators may process the information contained within this application form and may provide the information to other companies within the First Sentier Group (including First Sentier Investors (UK) Funds Limited) and/or any third party appointed for a number of purposes including but not limited to account administration and other general business purposes. You understand that all information provided by you and any other information relating to this application may be held on computer and will be treated in confidence. It will be disclosed to third parties, including but not limited to other financial organisations to protect First Sentier Group and their clients against fraud. Enquiries about you may also be made with licensed credit reference agencies for verification of identity and fraud checking purposes and in such cases, the agencies will keep a record of the enquiry. This may include disclosure to third parties such as auditors, the Irish Revenue Authorities and the Central Bank of Ireland or agents of the Administrator who process data for anti-money laundering purposes or for compliance with foreign regulatory requirements.

Your personal information will be handled by the Administrator (as data processor on behalf of the Company) in accordance with, as applicable, the Data Protection Acts 1988 and 2003 and the EU General Data Protection Regulation 2016 (and any consequent Irish data protection legislation). The Administrator may process personal data relating to the Subscriber for the purposes of providing services to the Fund, performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the Fund and to third parties and transferring them internationally.

The Company will disclose your information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as auditors, the Irish Revenue Authorities and the Central Bank of Ireland, and to the Investment Manager and where necessary or in the Company's legitimate interests to any company in Investment Manager's group of companies. We may also disclose your information to the Administrator or Depositary, or agents of the Administrator or Depositary, who may process the information for their own anti-money laundering purposes, compliance with their respective legal obligations or other legitimate purposes.

In each case, disclosure may be to companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland.

Except as set out above, we will not disclose your information to third parties, except (i) to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure and to use it solely for the purpose of providing the specified services to us (ii) where required by law; (iii) where required by regulatory bodies or (iv) where necessary for the Company's legitimate business interests.

If you are an individual, please refer to the privacy notice provided alongside this application form for further information on how your personal information will be processed (the "Privacy Notice"), as this will apply to our processing of your Personal Data.

If you are not an individual, the Privacy Notice applies to our processing of any Personal Data that you provide to us or that we otherwise process in connection with the products and services that we provide to you. Therefore you must ensure that any individuals whose Personal Data is provided to us receive the Privacy Notice.

Please refer to the privacy notice provided alongside this application form for further information on how your personal information will be processed (the "Privacy Notice"). In the event of an inconsistency between the content of this application form and the content of the Privacy Notice, the Privacy Notice will prevail.

The Applicant hereby consents to the recording of telephone calls for the purpose of confirming data.

By signing this form, the Applicant hereby consents to the processing of any sensitive information received in connection with this application, including any sensitive information received during the recording of telephone calls.

## Consent to Marketing

**From time to time we and other companies within the First Sentier Group and their representatives may wish to send you information about other products and services available from First Sentier Group by telephone, mail or email.**

**If you would like to receive such information, please tick this box.** ☐

The information supplied on the application form and through other (written or oral) communications from time to time in connection with my/our subscription for Shares or as Shareholder(s) of the Fund(s) including any information which I/we supply, by whatever means, that relates to me/us or a third party individual ("Personal Data") may be held by the Company, the Fund(s), the Manager, the Investment Manager, the Sub-Investment Managers, the Distributors and other relevant service providers appointed in respect of the Company and/or the Manager, the Fund(s) (including the Depositary, the Administrator and the Registrar) and their duly appointed delegates (including their employees, officers, directors or agents) and will be used for the purposes of providing me/us with various services in relation to my/our Shares including without limitation, matching for the purpose of processing or verifying my/our data, processing my/our subscriptions and investments in the Fund(s), the completion/maintenance of information on the investor registers, carrying out my/our instructions and/or responding to enquires purported to be given by me/us on my/our behalf, performance of anti-money laundering, counter terrorist financing and know-your-client checks and related processes, dealing with any matters in relation to my/our holdings of Shares, investor communications (including the mailing and/or emailing of financial reports and notices), and observing any legal, governmental or regulatory requirements of any relevant jurisdictions. All such information may be retained after my/our Shares in the Fund(s) have been transferred/redeemed or upon the termination of the relevant Fund(s) and/or the Company in accordance with applicable laws. I/we acknowledge that my/our Personal Data will be processed by and for the Company as further set out in the Privacy Notice.

I/We hereby acknowledge that the Company/Investment Manager/Manager and any other relevant person may disclose to any relevant tax authority, competent department or authority of the government or administration of the United Kingdom, Ireland or other countries any information (including regarding our tax status, identity or residency or other personal and payment information), documents or self-certifications provided by me/us to the Company/Investment Manager/Manager. To the extent permitted by law, I/we agree to waive any provision of any banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would otherwise prevent the Company's compliance with the AEOI regimes or any other laws, including, but not limited to, my/our provision of any requested information and/or documentation. I/we shall have no claim against the Company, the Manager, First Sentier Investors (UK) Funds Limited, the Investment Manager (or their respective agents from time to time) for any losses, liabilities, costs or expenses suffered by me/us as a result of the use or disclosure of such information or documentation or any actions or omissions taken by any of them in connection with the Company's compliance with the AEOI regimes.

## Notes

1. No application (including any transfer application) will be processed until all required information has been provided by the applicant. The Company/Manager reserves the right to reject any application at its sole discretion.
2. Irish regulations require the Company to collect and disclose certain information about each investor and certain related persons and their investments in the Company to the Irish Revenue Commissioners who may forward such information to tax authorities overseas. This legislation (as amended, supplemented or replaced from time to time) was enacted pursuant to an intergovernmental agreement signed by Ireland with the United States to implement the US Foreign Account Tax Compliance Act ("FATCA"), and a multilateral agreement Ireland signed with various jurisdictions to implement a similar regime known as the OECD Common Reporting Standard ("CRS", and together with FATCA and similar regimes, the "AEOI regimes") and EU Council Directive 2014/107 implementing the CRS and mandatory automatic exchange of taxation information within the EU. The Company may have further future obligations under the CRS and similar AEOI regimes.  
All prospective investors should consult with their own advisors regarding the possible implications and classifications under the AEOI regimes of an investment in the Company.
3. The Company, Administrator, Manager and the Distributor, acting on behalf of the Company, reserve the right to request additional documents as are necessary to verify the identity of the applicant(s) for the purpose of anti-money laundering, counter terrorist financing and any other laws or regulations.

## 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/Manager 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/Manager 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/Manager, 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/Manager 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/Manager 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/Manager 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/Manager 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/Manager, and the Fund/Company/Manager 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/Manager 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/Manager, 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/Manager, 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'affaires 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.

<b>Signature:</b>	<b>Date:</b>
<b>Signature:</b>	<b>Date:</b>

First Sentier Investors (UK) Funds Limited is authorised and regulated by the Financial Conduct Authority. Registered as a company in England and Wales with number 2294743.

Registered office: Finsbury Circus House, 15 Finsbury Circus, London EC2M 7EB, (FCA registration number 143359).

#### Return your form to:

**HSBC Securities Services (Ireland) Ltd**  
**1 Grand Canal Square,**  
**Grand Canal Harbour**  
**Dublin 2, Ireland**  
**Fax: +353 1 649 7560**

Applications received and accepted by FSI (UK) before 10.00 am (Irish time) will be processed using the applicable price calculated at the 11.00 am valuation point. Applications received and accepted by FSI (UK) after 10.00 am (Irish time) will be processed using the applicable price calculated at the next available valuation point.

Please make sure you have:

- enclosed a telegraphic transfer advice.

# Privacy Notice

## First Sentier Investors Global Umbrella Fund plc

### Background

This Notice gives information on how the First Sentier Group collect, use and protect the personal data held about investors.

This Notice describes how we will fulfil our obligations under applicable data protection laws, including Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 (the **General Data Protection Regulation** or **GDPR**).

### Information about us

References in this Notice to First Sentier (UK) Funds Ltd will include the following companies:

First Sentier Investors Global Umbrella Fund plc\*  
(together “**we**”, “**us**” or “**our**”)

\*Authorised by the Central Bank of Ireland

### Information we may collect

First Sentier Group collects, from time to time, personal data on investors from a number of sources, including: investor application forms; other First Sentier Group forms (including website forms); correspondence, conversations with clients, advisers, intermediaries; business cards; third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents); client advisers; other third parties; and from public sources. This information may be collected directly from investors or indirectly from third parties, as follows:

#### From you

We may collect from you and process the following personal data:

- Your name; address (including proof of name and address); photo identification; contact details both personal and work (for example, your email and phone numbers); job title and company; nationality; citizenship; tax residency; date of birth; passport details; national insurance number and other tax details; adviser details; investment details; banking details; signed contracts with you; business cards, contact sheets and biographies; financial dealings; family connections; details of your company’s directors, secretaries, authorised signatories and identification documents; details of any complaints made; data received from due diligence activities (such as anti-money laundering, politically exposed persons and sanctions checks); responses to surveys and competitions; fraud enquiries (for example, information from police reports); images captured by CCTV cameras on our premises; recordings of telephone conversations and electronic communications with our staff.

#### From third parties

We may collect personal data about you from third parties, in particular:

- **Third party service providers to our funds** (for example, transfer agents, registrars, administrators, distributors, custodians and paying agents) – information received includes personal details of investors obtained from fund application forms such as: name; address; contact details; nationality; national insurance number; date of birth; tax residency; adviser details; investment details; bank account details.
- **Your advisers (including independent financial advisers)** – information received may include your name, address, gender, date of birth, bank details.
- **Our vendors** such as Experian and World-Check – information received includes the results of “Know Your Client”, anti-money laundering, politically exposed persons and sanctions checks.
- **Publicly available sources** such as MandateWire and LinkedIn – information available includes contact details of institutional investors (MandateWire) and details of job title, company, former employers and roles, and connections (LinkedIn).

### How we will use the information we collect

The information we collect and use will depend on the nature of our business relationship with you, as follows:

- In relation to **prospective investors**, we may process personal data for identification purposes (prior to becoming an investor in our funds), for the purposes of anti-money laundering, counter-terrorist financing, suitability and appropriateness assessments, “Know Your Client” and credit-worthiness checks, and for any other applicable legal or regulatory reasons. Failure to provide relevant information will mean that we will not be able to on-board a potential investor.
- In relation to **investors in our funds**, we may process information collected for the purpose of account administration and other general business purposes (for example, for processing subscriptions and investments; maintaining the share register of investors; carrying out investor instructions; handling any complaints and enquiries; and sending investor communications, including financial reports, valuations, corporate actions). In addition, in order to comply with regulatory obligations, we may collect and disclose certain information about our investors and certain related persons and their investments to relevant tax authorities overseas.
- We may, from time to time, process personal data of **investors** to comply with legal and regulatory requirements impacting our business. In particular, we may need in the context of our business: to obtain legal advice on legal and regulatory requirements; to report to relevant regulators; to comply with market opening and registration requirements in the conduct of our business.
- In relation to **intermediaries who introduce investors into our funds** (such as distributors, platforms and independent financial advisers), we may process personal data to conduct market research, gauge product sales or product performance or assess the creditworthiness of intermediaries. In addition, we may process the personal data of investors introduced to our funds, as outlined above.
- **Monitoring purposes:** we may process personal data to analyse the performance of IT systems, monitor usage of resources and systems and to improve products, services and usability of our technology platform, including telephone calls and electronic communications with our staff which may be recorded for the purposes of retaining a record of communications, in the interests of security, for training and compliance monitoring purposes and/or to comply with legal or regulatory obligations.
- **Where you have provided your consent, we may process your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Group and of marketing campaigns and event invitations.**

We are entitled to use your personal data in these ways because:

- We have legal and regulatory obligations that we have to discharge;
- We may need to in order to establish, exercise or defend our legal rights or for the purpose of legal proceedings;
- The use of your personal data as described is necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates or service providers);
- The use of your personal data is necessary for the performance of a contract with you;
- You have provided your consent to us processing your personal data (other than for marketing purposes); or
- You have provided your consent to us processing your personal data for the purposes of informing you (for example, by telephone, mail or email) about other products and services available from the First Sentier Group and of companies and of marketing campaigns and event invitations.

## Disclosure of your information

- We may disclose your personal data to any member of the First Sentier Group, which means our affiliates, for internal business and administrative purposes (including to administer our products and services, and for prudential and risk management purposes) and, **where you have given your consent**, to provide you with information on related products and services. We may also disclose personal data relating to our clients to members of our group to whom we sub-delegate our services (for example, trade order execution and portfolio management).
- We may disclose your personal data to third parties that are specifically engaged by us to provide services to us, in which case we will require those parties to keep that information confidential and secure, and to use it for the purpose of providing the specified services to us. The following is a list of the types of third parties who may process your personal data on our behalf:
  - third party service providers to our funds (for example, transfer agents, administrators, distributors, custodians, paying agents and researchers);
  - credit reference agencies, debt collection agencies and other companies for use in credit decisions, for fraud prevention, to pursue debtors and for the verification of identity;
  - document execution vendors in relation to the execution of contracts with our clients;
  - insurance brokers; and
  - professional advisers (for example, accountants/tax advisors and legal advisors).
- Where we disclose your personal data to third party service providers to our funds, they may need to use your information to comply with their own legal obligations, including under anti-money laundering legislation. In the case of the custodians, your personal data may also be used by them in the discharge of their respective statutory oversight and monitoring obligations. Administrators may use your personal data for the purposes of anti-money laundering verification and monitoring in connection with investments made by you in other collective investment schemes administered by that administrator. In those cases, the relevant service provider will be acting as a controller in respect of your personal data, and its use of your personal data will be subject to its privacy policy.
- If you use a financial adviser (as indicated on your investor application form), then details of your investments and valuations may also be provided to such financial adviser.
- We may disclose to relevant tax authorities, regulators, government departments or competent authorities of any country, any personal data (including tax status, identity or residency or other personal and payment information, documents or self-certifications) in order to comply with a court order or to meet legal and regulatory requirements arising in the conduct of our business. Such disclosure may be made directly to such regulators or competent authorities or made indirectly to our advisers or providers who will make such filings or disclosures on our behalf.

## Transfers outside the EEA

We may transfer your personal data to our overseas affiliates (including outside the EEA) and/or allow the information to be accessed by our affiliates and their employees outside the EEA as well as within. It may also be processed by personnel operating outside the EEA who work for us or for one of our third party service providers.

Where we transfer your personal data outside the EEA, we will ensure that it is protected in a manner that is consistent with how your personal data will be protected by us in the EEA or that the transfer is otherwise compliant with data protection laws. This can be done in a number of ways, for example:

- the country that we send the data to might be approved by the European Commission;
- the recipient might have signed up to a contract based on "model contractual clauses" approved by the European Commission, obliging them to protect your personal data;
- where the recipient is located in the US, it might be a certified member of the EU-US Privacy Shield Scheme;
- where data protection laws permit us to transfer your personal data outside the EEA.

You can obtain more details of the protection given to your personal data when it is transferred outside the EEA (including a copy of any standard data protection clauses which we have entered into with recipients of your personal data) by e-mailing us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or writing to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*.

## How long will we store your data?

Personal data held by us will be kept confidential. How long we hold your personal data for will vary and will be determined by various criteria, including:

- the purpose for which we are using it – we will need to keep the data for as long as is necessary for that purpose; and
- legal obligations – laws or regulations may set a minimum period for which we have to keep your personal data.

## Your rights in relation to your data

**If you wish to contact us for any of the reasons below, please e-mail us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or write to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*:-**

- You have a **right to access** the information which we hold about you. If you wish to make an application to access or obtain this information, please contact us. In some circumstances, you have the right to receive some personal data in a structured, commonly used and machine-readable format and/or request that we transmit that data to a third party where this is technically feasible. Please note that this right only applies to personal data which you have provided to us.
- We take reasonable steps to ensure that the personal data we collect, use or disclose is **accurate, complete and up to date**. You have the right to request correction of your personal data if it is inaccurate or incomplete. Please contact us if any of the details you have provided change. Please also contact us if you believe that the information we have about you is not accurate, complete or up to date.
- You have the right to request the **erasure** of your personal data and the right to **object to**, and request that we **restrict**, our processing of your personal data in certain circumstances. However, there may be circumstances where you ask us to erase your personal data but we are legally entitled to retain it or circumstances where you object to, or ask us to restrict, our processing of your personal data but we are legally entitled to continue processing your personal data and/or refuse that request. If you wish us to erase or restrict using your data, please contact us. We may need to discuss with you the basis of your request as there may be circumstances where we are legally entitled to continue processing your personal data/refuse your request.
- You have the right to **withdraw consent** to our processing of your personal data at any time (although we may still be entitled to process your personal data if we have another legitimate reason (other than consent) for doing so). If you have previously provided your consent to our use of your data (other than for marketing purposes) and you wish to withdraw such consent, please contact us. We may need to discuss with you whether our use of your data needs to continue for lawful purposes (i.e. because we have another legitimate reason (other than your consent) for doing so).
- **If you have previously consented to being sent information about other products and services available from the First Sentier Group, you may withdraw such consent by contacting us.**
- If you have any **complaints** in relation to the way we have used your personal data, please contact us in the first instance. You also have the right to lodge a complaint with the **Office of the Data Protection Commissioner** at *Canal House, Station Road, Portllington, Co. Laois, R32 AP23, Ireland (Tel: +353 (0)761 104 800)*, if you think that any of your rights have been infringed by us.

## Other Products and Services

If you would like to receive further information from us about other products or services offered by First Sentier Group, please ensure you tick the relevant box on the appropriate application form or contact us by e-mailing us at [firstsentierqueries@hsbc.com](mailto:firstsentierqueries@hsbc.com) or writing to us at *HSBC Securities Services (Ireland) Ltd, 1 Grand Canal Square, Grand Canal Harbour, Dublin 2, Ireland*.

## Changes to our Privacy Notice

This Notice was updated on 20 April 2018. We reserve the right to change this Notice at any time.