

Latitude Funds

Sub Fund of the Oriel Montlake UCITS Platform ICAV

Individual Application Form

For initial subscriptions you must complete this application form together with the supporting documentation required for anti-money laundering purposes. Please ensure you complete all relevant sections as failure to do so may cause delay into your acceptance and verification process. Should you need any assistance in completing this form or if you have any questions, please contact your Latitude representative or Northern Trust.

Please return this form along with supporting documents via email or post to Northern Trust International Fund Administration Services (Ireland) Limited, Northern Trust Registration Department, 2nd Floor, Block A, City East Plaza, Towlerton, Ballysimon, Limerick, Ireland V94 X2N9. Telephone: +353 1 434 5178 Email: OrientalInstructions@ntrs.com. Subscriptions will not be permitted until NT receives all required documentation and your account has been verified.

Once your account has been verified you will be contacted by Northern Trust who will supply you with an account number in order to complete your investment into the Latitude Fund.

Name and Details of Holder

Title	Surname		
Forename(s)		D.O.B	
Occupation			
Nationality		Domicile	
City of Birth		Country of Birth	

Permanent Residential Address in Full

Country	
Postcode	Email
Telephone	Mobile

Tax Residency

I confirm I am resident inside of the UK for tax purposes ☐ and my National Insurance number is:

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If resident in more than one country for tax purposes please detail countries and taxpayer Identification number below:

AML Risk Assessment

Section 30A(2)(b) of Irish Anti-Money Laundering legislation requires us to complete an assessment below in order to identify the risk of money laundering and terrorist financing involved. Please complete all relevant sections. Should you have any question in relation to the completion of any section of the AML questionnaire please contact the AML team by email Ireland.AML.Operations.team@ntrs.com

In the event that any aspect of the registered investor detail or completed AML questionnaire should change in the future please ensure that this updated information is provided to the AML team promptly so that the current detail on the registered investor account can be accurately maintained.

Section 1 – Investment Detail

Please confirm source of wealth – Please tick the appropriate box (this refers to the activities that have generated the total net worth of the customer e.g. the activities that produced the customers funds and property).

Employment Income ☐

Sale of Real Estate ☐

Sale of Securities investments ☐

Inheritance ☐

Other* ☐

*if this box is ticked, please provide details in the box below

Please confirm source of funds – Please tick the appropriate box (this refers to the origin and means of transfer of funds that are involved in the transaction e.g. occupation, business activities, proceeds of sales etc).

Employment Income ☐

*if this box is ticked, please provide details of the following in the box below

- a) Job description and location: and
- b) The Nature/industry of the employer's business

Sale of Real Estate ☐

*if this box is ticked, please provide details of the following in the box below

- a) The amount and date that the property was sold; and
- b) The location of the real estate

AML Risk Assessment

Section 1 – Investment Detail (cont.)

Please confirm source of funds (cont.) – Please tick the appropriate box (this refers to the origin and means of transfer of funds that are involved in the transaction e.g. occupation, business activities, proceeds of sales etc.)

Sale of Securities Investments ☐

*if this box is ticked, please provide details of the following in the box below

- a) The type of security/securities sold; and
- b) The dates and the sale amount of the security/securities sold.

Inheritance ☐

*if this box is ticked, please provide details of the following in the box below

- a) The amount and date that the inheritance was received; and
- b) The relation to the benefactor.

Other ☐

*if this box is ticked, please provide details of the following in the box below

- a) The nature including jurisdiction of the source of the funds;
- b) The relevant dates associated; and
- c) The amounts received.

Is the investment associated with any of the following industries ? – Please tick the appropriate box

- | | | | |
|--------------------------|--------------------------|--|--------------------------|
| Arms trade and defence | <input type="checkbox"/> | Gas or Petrol | <input type="checkbox"/> |
| Arts and Precious metals | <input type="checkbox"/> | Money Service, Cash Intensive Business or Casino | <input type="checkbox"/> |
| Construction | <input type="checkbox"/> | Pharmaceutical and Healthcare | <input type="checkbox"/> |
| Extractive Industries | <input type="checkbox"/> | Public Procurement | <input type="checkbox"/> |
| Other* | <input type="checkbox"/> | | |

*if this box is ticked, please provide details in the box below

AML Risk Assessment

Section 2 – Investment Activity

Estimate of Current Total Net Assets (please tick appropriate box)

Up to £500,000 ☐ £500,000 to £1,000,000 ☐ £1,00,000 to £5,000,000 ☐ £5,000,000 to £10,000,000 ☐
£10,000,000 to £50,000,000 ☐ Over £50,000,000 ☐

Expected total amount to be invested (please tick appropriate box)

Up to £500,000 ☐ £500,000 to £1,000,000 ☐ £1,00,000 to £5,000,000 ☐ £5,000,000 to £10,000,000 ☐
£10,000,000 to £50,000,000 ☐ Over £50,000,000 ☐

Frequency of Future Transactions (please tick appropriate box)

Daily ☐ Weekly ☐ Monthly ☐ Quarterly ☐
Annually ☐ Other* ☐

*if this box is ticked, please provide details in the box below

Expected average amount per future transaction (please tick appropriate box)

Up to £500,000 ☐ £500,000 to £1,000,000 ☐ £1,00,000 to £5,000,000 ☐ £5,000,000 to £10,000,000 ☐
£10,000,000 to £50,000,000 ☐ Over £50,000,000 ☐

Section 3 – Sanction Confirmation

Please tick one of the below and complete as appropriate

I/we confirm that a person in control of or a person owning beneficial interest in the investment is **not** subject to a sanction or embargo ☐
or

I/we confirm that a person in control of or a person owning beneficial interest in the investment is subject to a sanction or embargo* ☐

*if this box is ticked, please provide details in the box below including;

- Name of the person/party sanctioned;
- Details of the sanction/embargo enforced;
- Relationship of the person/party sanctioned to the registered investor; and
- Any other relevant detail

Please provide the following AML documents with your application

Copy of photo ID (copy of Passport, Driver's License or National ID Card) ☐

Copy of Bank Statement showing the account that your investment will come from dated within the last 3 months ☐

Please see appendix 3 for further information on Anti-money laundering and know your customer requirements.

Declaration and Signatures

- I can confirm that I am **not** a US Person (as defined in the prospectus) and am not acquiring shares in the fund on behalf of, or for the benefit of, a US person, nor do I intend to transfer any shares I purchase to any US person. ☐
- I can confirm that I am **not** a US citizen or resident in the US for tax purposes. ☐
- I can confirm I am **not** a PEP (Politically Exposed Person). ☐
- I can confirm that I am **not** an Irish resident or non-Irish resident (Working in Ireland). ☐
- I declare that I am applying for the units on my own behalf and I am entitled to the units in respect of which this declaration is made, should I become Irish resident I will inform the administrator, Northern Trust. ☐
- I confirm that I have read the privacy notice and data protection section in appendix 1. ☐
- I confirm that I have read the declaration on page 8. ☐

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this/these account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information. I undertake to advise the administrator promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect. Please see **appendix 4** for Tax declaration for individuals.

Signature

Print Name

Date

Important

Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. To be valid, this Subscription Agreement (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

Applicants who are resident or ordinarily resident in the Republic of Ireland or are exempt Irish resident as defined in the prospectus please contact Northern Trust.

Appendix 4 - FATCA, CRS Self-Certification

Individual Self-Certification for FATCA and CRS (only complete if Non-UK Tax resident Individual)

Data Protection

Your application to invest in the Fund, and the information you disclose in this Subscription Agreement, is subject to the Standard for Automatic Exchange of Financial Account Information in Tax Matters (the Common Reporting Standard, or "CRS"). Ireland is a participating jurisdiction in the CRS. Accordingly, we are required to report certain information in relation to you, in particular your tax residency status and Tax Identification Number (TIN) (which you are required to provide in Bank Account Details for Redemption and Distribution Payments section of the form), to the Irish Revenue Commissioners. This is the case even where you are not resident in a jurisdiction that is participating in the CRS. The purpose of data-sharing under the CRS is to facilitate the cross-border enforcement and collection of tax. You should note that the information reported by us to the Irish Revenue Commissioners in respect of you may be shared with other tax authorities who are participants in the CRS.

For more information on the CRS, please see the relevant webpage on the Irish Revenue Commissioner's website:

<http://www.revenue.ie/en/business/aeoi/index.html>

FATCA and CRS Self-Certification

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the

OECD website at: <http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

If any of the information below about the account holder's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly.

Please note that where there are joint account holders each account holder is required to complete a separate Self-Certification form.

Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons. Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

Section 1: Account Holder/Controlling Person Identification

Beneficiary Owner 1 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2) ☐

Name

Address

Postcode

Country

Town or City of Birth

Country of Birth

Date of Birth

Appendix 4 - FATCA, CRS Self-Certification

Individual (including Controlling Persons) Self-Certification for FATCA and CRS

Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes

Please tick either of the below and complete as appropriate.

☐ I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

U.S TIN

☐ I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

Note: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) You are tax resident in a Jurisdiction that does not issue a TIN, Or,
- b) You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Residence	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

If a TIN is unavailable, please tick the appropriate box as follows;

- ☐ The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- ☐ The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)
- ☐ No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Section 4: Declaration and Undertaking

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Signature

Capacity of signatory

Name

Date

Reporting Currency for Investor Statements/Contract Notes/Income Distribution

GBP ☐

EUR ☐

USD ☐

Your Bank Account Details

Please enter your bank information in the section below with the **bank details that you intend to make the investment from.**

Bank or building society:

Account Name:

Sort Code:

Account Number:

*For income share classes only, please tick one of the following:

Income will be paid to you semi-annually as a dividend

☐

Income will be reinvested into units in the fund

☐

Appendix 1 - Data Protection and Privacy notice

Introduction

This notice sets out details of how and why we (“the Fund”, “we”, “us”, “our”) and third parties collect and process personal information in connection with investments in the Fund or associated interactions with us. We do this in compliance with our obligations under applicable data protection law. This notice explains what personal data is collected, the purposes for which it is used, the third parties to whom it may be disclosed and how individuals can exercise their rights in relation to their personal data.

This notice applies to the collection and processing of personal information relating to any individual applicant in the Fund and personal information relating to individuals associated with institutional applicants in the Fund, such as an institutional applicant’s directors, shareholders, trustees, beneficial owners, employees, representatives, agents, professional advisers and other personnel. References to “you” and “your” mean the relevant individuals who are the subjects of the personal data to which this notice relates or an institutional applicant with which an individual is associated. Institutional applicants should ensure that this notice is provided to any individual whose personal data has been provided to us as soon as practicable.

About Us

The Fund is the controller of the personal data collected via the application form in respect of the Fund (the “Application Form”) and in connection with our dealings with you in relation to investments in the Fund or associated interactions with us. The Fund engages third party service providers to process such personal data on behalf of the Fund and those third parties act as processors. The Fund is not required to designate a Data Protection Officer. If you have any questions about the use of your personal data, your data protection rights or if you want to exercise those rights, please contact us at dmsnotices@dmsgovernance.com.

Personal Data that we Process

The Fund collects personal data relating to you that is provided to it in your Application Form, in connection with our dealings with you in relation to investments in the Fund or associated interactions with us from both you and public sources, including your name, signature, postal address, email address, fax number, date and place of birth, nationality, bank account details, source of funds details, tax identification, signatures, other contact details, shareholder register account numbers (or functional equivalent) and transaction detail.

The Fund may also collect personal data in relation to you in connection with ensuring compliance with its legal obligations including your tax identification number; passport number; utility bills, photographic identification and verification such as copies of your passport, passport number, drivers licence and address verification. For the purposes of carrying out due diligence, we may also collect information relating to your status as an ultimate beneficial owner of an entity, or as a politically exposed person.

The Fund may collect and process personal data relating to you in connection with its on-going relationship with you, such as via correspondence and calls, and in connection with our administration of you or your investment in the Fund and relating to your investment activity. Telephone calls with you may be recorded for the purposes of record keeping, security and training.

In addition, we may collect personal data relating to you from third party sources in connection with complying with legislation relating to anti-money laundering, taxation, and other legislation applicable to investment funds.

To the extent that any information contained in the Application Form or any other information that is furnished in connection with your investment in the Fund constitutes personal data in respect of another individual, you should provide a copy of this notice to such individual and acknowledge, on that individual’s behalf, that such data shall be held and processed by and on behalf of the Fund in the manner outlined herein.

Purposes of Processing and Legal Basis

Personal data that you provide in your Application Form, or that we otherwise obtain in relation to you, will be processed for the following purposes:

- processing the application to become an applicant in the Fund;
- to reflect ownership of shares in the Fund and to manage and administer your holdings in the Fund. This is necessary for the performance of the contract to purchase shares in the Fund and to process redemption, conversion, transfer and additional subscription requests or the payment of distributions or redemption amounts.
- establishing your identity, and providing, servicing and administering your investment;
- complying with our legislative and regulatory obligations in connection with our dealings with you, including under applicable law regarding anti-money laundering and counter terrorist financing, taxation, the regulation of collective investment schemes, or the provision of financial services, crime-detection, prevention, investigation and prosecution, the prevention of fraud, bribery, anti-corruption, tax evasion, to prevent the provision of financial and other services to those who may be subject to economic or trade sanctions, in response to legal or court requests or requests from regulatory authorities or where it is in the public interest;
- for direct marketing purposes (that is, providing information on products and services) or for quality control, business and statistical analysis, market research or for tracking fees and costs or for customer service, training and related purposes;
- if applicable, processing the fact that you are a politically exposed person, to comply with applicable legal obligations;
- to communicate with you by way of notice pursuant to applicable legislation or the Fund’s constitutional documents or circulating reports relating to the Fund;
- maintaining appropriate business records, including maintaining appropriate registers of shareholders;
- where required for global tax reporting purposes, including FATCA or CRS;
- internal training and management of personnel;
- to respond to or evaluate any queries or complaints in relation to your investment;
- internal and external audits and, where necessary, investigations; and
- establishing, exercising or defending legal claims.

The legal grounds that we rely on to process your personal data are:

- that it is necessary to comply with our legal obligations;
- that it is necessary for the purposes of The Funds legitimate interests¹ or the legitimate interests of a third party to whom your personal data is provided. The Fund will not process your personal data for these purposes if our or the third party’s legitimate interests should be overridden by your own interests or fundamental rights and freedoms. The legitimate interests pursued by us in this regard include:
 - o Conducting our business in a responsible and commercially prudent manner and dealing with any disputes that may arise;
 - o Preventing, investigating or detecting theft, fraud or other criminal activity;
 - o Pursuing our corporate and social responsibility objectives.
- where you are an individual applicant, that this is necessary to take steps at your request prior to entering into our contract with you and for the performance of our contract with you;
- in certain limited circumstances, your consent.

¹ Legitimate Interest – as defined under GDPR.

Declarations

By signing this Application Form, I acknowledge that I have viewed, reviewed and understood the Key Investor Information Document (KIID) applicable to the relevant Share class(es) to which this Application Form relates in good time and prior to making an application for Shares of such Class(es).

I having received and considered a copy of the Prospectus and Supplement, hereby confirm that this application is based solely on the current Prospectus and supplement, the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the ICAV.

I undertake to observe and be bound by the provisions of the Instrument of Incorporation of the ICAV (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).

I acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the ICAV, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before the application can be processed and the ICAV, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested by the parties referred to and has not been provided by me/us.

I hereby authorise the Administrator to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me in written form, by facsimile or by electronic means. I hereby agree to indemnify each of the Administrator, Investment Manager and the ICAV and any of their respective affiliates and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of my failure to remit the amount of my subscription by the due date or my failure to comply with the terms of this Subscription Agreement or them acting upon instructions given in written form by me, i.e. facsimile. The Administrator and the ICAV may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I consent to any notice or other document to be sent by the ICAV or the Administrator to me/us as a Shareholder, by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to me/us by post or by e-mail.

I confirm that I have the capacity and am duly authorised to complete this form and to make the representations and give the indemnities referred to herein, and that I am in compliance in all material respects with all applicable laws or regulations of any competent jurisdiction.

I agree to provide these representations to the ICAV and its Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the ICAV and/or its Directors may reasonably require to substantiate such representations.

I understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Fund by me/us shall be governed by them, and I agree to notify the ICAV or the Administrator immediately if any representation or warranty are no longer accurate and to abide by any directions from the ICAV or the Administrator arising as a result.

I confirm that I am a person over 18 years of age.

I hereby certify that I am aware of the risks involved in the proposed investment as set out in the Prospectus.

I confirm that I am in agreement with the distribution policy as outlined in the Prospectus.

I declare that the information contained in the declarations completed above is true and correct.

I have consulted to the extent I have determined appropriate with my own independent advisors as to the financial, tax, legal and related matters concerning an investment in the Shares and on that basis believe that an investment in the Shares is suitable and appropriate for me.

Immediately prior to the execution of this Subscription Agreement:

(a) I personally possess sufficient knowledge and experience in financial and business matters (including experience with investments of a similar nature to investments of the ICAV and the Fund) to be capable of evaluating the merits and risks of an investment in the Shares; and

(b) I and any account for which I may be acting have sufficient financial risk to be able to bear the economic risk of complete loss of my/our investments in the Shares.

I undertake to supply to the ICAV with;

(a) such forms, documentation and other information relating to its status under FATCA as the ICAV may reasonably request for the purposes of the ICAV's compliance with FATCA, including the applicable FATCA self-certifications at Appendices I and II to this Subscription Agreement; and

(b) such forms, documentation and other information relating to its status as the ICAV may reasonably request for the purposes of the ICAV's compliance with any other law, regulation, or exchange of information regime.

I acknowledge that, depending on my status under FATCA, the ICAV may report information in relation to the me and my Shares to the Irish Revenue Commissioners and that any information reported by the ICAV to the Irish Revenue Commissioners may be communicated to the US Internal Revenue Service pursuant to Ireland's intergovernmental agreement with the United States of America in relation to FATCA. I also acknowledge that it is possible that the Irish Revenue Commissioners may also exchange such information with other tax authorities pursuant to the terms of any applicable double tax treaty, intergovernmental agreement or exchange of information regime.

Appendix 1 - Data Protection and Privacy notice

Other Data Controllers

The Fund Administrator may use the information provided by you in order to obtain information it requires in relation to your prospective investment in another fund. The Administrator may consider itself a data controller with respect to this activity.

The Fund Administrator and MLRO may make a report to relevant authorities where it has a suspicion of money laundering or a terrorist financing offence. Where the Administrator makes such a report for itself, not with respect to you, it may consider itself a data controller with respect to this activity. The legal basis for making such disclosure is to comply with a legal requirement.

The Depositary may consider itself a data controller with respect to personal data it receives in the performance of its oversight services with respect to the Fund. The legal basis for obtaining such data is to comply with a legal requirement.

Transfers Abroad

In connection with the above purposes your personal data may be transferred outside the European Economic Area, including to a jurisdiction which is not recognised by the European Commission as providing for an equivalent level of protection for personal data as is provided for in the European Union. These jurisdictions may include the United States of America, the Cayman Islands and Asia. If and to the extent that we do so, we will ensure that appropriate measures are in place to protect the privacy and integrity of such personal data and in particular will comply with our obligations under Regulation (EU) 2016/679, the General Data Protection Regulation (GDPR) governing such transfers, which may include:

- (a) entering into a contract governing the transfer which contains the "standard contractual clauses" approved for this purpose by the European Commission;
- (b) in respect of transfers to the United States of America, ensuring that the transfer is covered by the EU-US Privacy Shield framework (for so long as that it meets with the requirements of GDPR as regards reliance on adequacy decisions under Article 45 of the GDPR);
- (c) transferring your personal data pursuant to binding corporate rules; or
- (d) a transfer where the European Commission has decided that the recipient ensures an adequate level of protection.

Further details of the measures that we have taken in this regard and the territories to which your personal data may be transferred are available by contacting us as set out above.

Recipients of Data

Your personal data may be disclosed to various recipients in connection with the above purposes, including:

- the Board of the Fund;
- Third party service providers that may be appointed in respect of the Fund;
- Money Laundering Reporting Officer;
- Company Secretary;
- Domestic and other foreign tax authorities as required by applicable law, including FATCA or CRS;
- Competent regulatory authorities and bodies as requested or required by law;
- Other third parties who we engage to provide services to us, such as

professional advisers, legal advisers, auditors and IT service providers;

- To screening and other reference agencies in order to carry out money laundering and identity checks and to comply with legal obligations;
- Other members of our corporate group or the corporate groups of the entities referred to above, as well as affiliates, agents and delegates; and

Retention

We will retain your personal data for the duration of your investment in the Fund and for such a period of time after the investment ends as is necessary to comply with our obligations under applicable law and, if relevant, to deal with any claim or dispute that might arise.

Your Rights

You have the following rights, in certain circumstances and subject to applicable exemptions, in relation to your personal data, as set out in more detail in Chapter 3 of the GDPR:

- the right to access your personal data, together with information about our processing of that personal data;
- the right to rectify any inaccuracies in your personal data;
- the right to have any incomplete personal data completed;
- the right to erase your personal data (in certain specific circumstances).
- the right to request that your personal data is no longer processed for particular purposes (in certain specific circumstances);
- where the legal basis for processing is consent, the right to withdraw your consent at any time;
- the right to object to the use of your personal data or the way in which it is processed where we have determined it to be necessary for the purposes of our legitimate interests;
- the right to data portability (in certain specific circumstances);
- the right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you infringes applicable data protection law.

Consent to Direct Marketing

From time to time the Fund or any of the entities listed above may send you information about other products and services that they offer by letter, telephone, by email or by other reasonable means of communication. You have a right not to receive such information.

If you consent to receive such information, please tick () here.

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal.

Appendix 2 - FATCA & CRS Self-Certification

Your application to invest in the Fund, and the information you disclose in this Subscription Agreement, is subject to the Standard for Automatic Exchange of Financial Account Information in Tax Matters (the Common Reporting Standard, or “CRS”). Ireland is a participating jurisdiction in the CRS. Accordingly, we are required to report certain information in relation to you, in particular your tax residency status and Tax Identification Number (TIN) (which you are required to provide in Bank Account Details for Redemption and Distribution Payments section of the form), to the Irish Revenue Commissioners. This is the case even where you are not resident in a jurisdiction that is participating in the CRS.

The purpose of data-sharing under the CRS is to facilitate the cross-border enforcement and collection of tax. You should note that the information reported by us to the Irish Revenue Commissioners in respect of you may be shared with other tax authorities who are participants in the CRS.

For more information on the CRS, please see the relevant webpage on the Irish Revenue Commissioner’s website: <http://www.revenue.ie/en/business/aeoi/index.html>

FATCA and CRS Self-Certification

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor’s tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor’s interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

Individual (Controlling Person’s) Self-Certification

If you have any questions about this form or defining the investor’s tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue website at: <http://www.revenue.ie/en/business/aeoi/index.html> OR the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> (in the case of CRS only)

If any of the information below about the investor’s tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

Please note that where there are joint or multiple account holders each investor is required to complete a separate Self-Certification form.

Tax Residency

Council Directive 2003/48/EC of 3 June 2003 (the “EU Savings Directive”), which deals with the taxation of savings income in the form of interest payments, seeks to ensure that an individual who is resident in a member state of the European Union (an “EU Member State”) and who receives savings income from another EU Member State¹, is taxed in the EU Member State in which he/she is resident for tax purposes. In this regard the Fund is obliged to establish the identity and residence of such individuals.

Appendix 3 - Anti-money laundering documentation requirements

Under Irish legislation and supplemental guidance covering anti-money laundering and the taxation of savings the ICAV and the Administrator are required to obtain the documentation set out at Appendix III to verify the identity of all new applicants. This documentation should be provided with the subscription agreement. The documentation listed may not cover all applications and the ICAV and the Administrator reserve the right to request additional documentation if required.

Should documents be provided in a language other than English, an English translation may be required.

In any event, redemption and dividend payments will not be processed until full anti-money laundering documentation has been received on the account and the ICAV and the Administrator reserve the right to take further action where full anti-money laundering documentation has not been received.

Please note that the Administrator can only accept application forms from an entity that has legal capacity to enter into contracts on its own right and may require the constitutive document to legitimate legal status.

The Administrator employs a risk based approach to anti money laundering (“AML”). This entails looking at various risk factors such as geographic risk, customer risk and Politically Exposed Person (“PEP”) association among other factors. There are 3 different approaches that can be taken as a result of the risk assessment, these are Simplified Customer Due Diligence (SCDD), Standard Customer Due Diligence (SDD) or Enhanced Customer Due Diligence (ECDD).

Simplified Customer Due Diligence (“SCDD”)

SCDD can be applied in instances where the jurisdiction involved and customer type is deemed lower risk from a Money Laundering and Terrorist Financing perspective. Where SCDD is applied the emphasis is more on independent verification.

Examples of where SCDD can be applied are:

A credit or financial institution that carries out business in an EU Member State or in a jurisdiction, which operates comparable AML/CTF controls

A company listed on a regulated market in a prescribed country.

Standard Customer Due Diligence (“SDD”)

SDD will be applied where the customer/entity investing is located in a jurisdiction deemed to have equivalent levels of AML/CTF controls as Ireland. Additionally the entity type, as a result of our risk assessment, is not deemed to be higher risk, however information on the beneficial owners and controllers is not publicly available and therefore information is required from the Investor.

Enhanced Customer Due Diligence (“ECDD”)

ECDD is applied on a risk sensitive basis in any situation, which by its nature would present a higher risk of money laundering or terrorist financing. Typically ECDD will be applied to investors located in higher risk jurisdiction, with a complex legal structure or where the registered shareholder or ultimate beneficial owner of the registered shareholder has been identified as a Politically Exposed Person (“PEP”).

Please note the above is a guideline and NT reserve the right to apply ECDD to any Investor where it deems the situation warrants the approach or may request further information as it deems necessary as part of its AML verification process.

Beneficial Ownership

A beneficial owner means any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

Body Corporate

In the case of a body corporate, a beneficial owner is the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means.

A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership.

if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s).

Partnership

In the case of a partnership, a beneficial owner is any individual who ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25% share of the capital or profits of the partnership or more than 25% of the voting rights in the partnership, or otherwise controls the partnership.

Deceased Persons

Beneficial owner, in relation to an estate of a deceased person in the course of administration, means the executor or administrator of the estate concerned.

Legal Entity or Legal Arrangement

In relation to a legal entity or legal arrangement (other than a corporate, partnership or trust) a beneficial owner means:

If the individuals who benefit from the entity or arrangement have been determined, any individual who benefits from the property of the entity or arrangement;

If the individuals who benefit from the entity or arrangement have yet to be determined, the class of such individuals in whose main interest the entity or arrangement is set up or operates;

Any individual who exercises control over the property of the entity or arrangement;

Any person holding a position, in relation to the legal entity or legal arrangement that is similar or equivalent to the position of settlor, trustee or protector in relation to a trust.

Appendix 3 - Anti-money laundering documentation requirements

Trust	Politically Exposed Person ("PEP")
<p>In the case of a trust, a beneficial owner means any of the following:</p> <p>any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;</p> <p>in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in paragraph (a), the class of individuals in whose main interest the trust is set up or operates;</p> <p>any individual who has control over the trust;</p> <p>the settlor;</p> <p>the trustee;</p> <p>the protector.</p> <p>For the purposes of and without prejudice to the generality of subsection A above, an individual who is the beneficial owner of a body corporate that—</p> <p>is entitled to a vested interest of the kind referred to in subsection (A)(i), or</p> <p>has control over the trust,</p> <p>is taken to be entitled to the vested interest or to have control over the trust (as the case may be).</p> <p>In this section "control", in relation to a trust, means a power (whether exercisable alone, jointly with another person or with the consent of another person) under the trust instrument concerned or by law to do any of the following:</p> <p>dispose of, advance, lend, invest, pay or apply trust property;</p> <p>vary the trust;</p> <p>add or remove a person as a beneficiary or to or from a class of beneficiaries;</p> <p>appoint or remove trustees;</p> <p>direct, withhold consent to or veto the exercise of any power referred to in paragraphs (i) to (iv).</p>	<p>A PEP is defined as an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official):</p> <ul style="list-style-type: none"> • A member of the administrative, management or supervisory body of a state owned enterprise; or • A specified official – being any of the following officials, including any such officials in an institution of the European Communities or an international body: <ul style="list-style-type: none"> • a head of state, head of government, government minister or deputy or assistant government minister; • a member of a parliament or similar legislative body; • a member of the governing body of a political party; • 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; • a member of a court of auditors or of the board of a central bank; • an ambassador, chargé d'affairs or high-ranking officer in the armed forces; • a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation. <p>A close associate of a politically exposed person includes any of the following persons:</p> <ul style="list-style-type: none"> • any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the politically exposed person; • any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the politically exposed person. <p>An immediate family member of a politically exposed person includes any of the following:</p> <ul style="list-style-type: none"> • any spouse of the politically exposed person; • any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides; • any child of the politically exposed person; • any spouse of a child of the politically exposed person; • any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides; • any parent of the politically exposed person; • any other family member of the politically exposed person who is of a prescribed class.

Appendix 3 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* -	
	Standard	Enhanced
Individual	<ul style="list-style-type: none"> - Copy of photo ID (copy of Passport, Drivers License or National ID Card) ** - Copy of proof of residential address verification (Utility Bill, Bank or Mortgage Statement***) 	<ul style="list-style-type: none"> - Certified copy of photo ID - One certified proofs of residential address verification - Due Diligence Questionnaire (incl. Source Wealth and Source of Funds)
Joint Account	- As per the above for each account holder	- As per the above for each account holder
Designated Person (wholly owned subsidiary)	<ul style="list-style-type: none"> - Proof of Regulation - Letter of Assurance (Nominee templates below) - Identify any beneficial owner entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, then the natural person(s) who hold the position of director(s) of the entity must be identified (along with address, date of birth and nationality). - Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only). - Original Authorised Signatory List ("ASL") including specimen signatures 	
Corporation	<ul style="list-style-type: none"> - Copy of Certificate of Incorporation or equivalent constituting document - Identify Directors - Verify identity of two directors or one directors and one authorised signatory - Identify and verify ultimate beneficial owners holding 25% or more of the share, profit or voting rights. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified. - Verify identity of two Directors or one Director and one authorised signatory - Original ASL including specimen signatures - Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only). 	<ul style="list-style-type: none"> - All documents required under standard - Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity must be identified and verified. - Due Diligence Questionnaire (incl. Source Wealth and Source of Fund) <p>Where the applicant is domiciled in a high risk jurisdiction, documentation should be certified as true copies of the original</p>
Trust	<ul style="list-style-type: none"> - Full name of trust. - Country of establishment of trust - Copy of Trust Deed - Identify all Trustees - Verify identity of two Trustees or one Trustee and one authorised signatory - Identify and verify Settlor(s)/Donor - Identify and verify the protector. - Identify beneficiaries or the class of beneficiary beneficially entitled to trust's assets or the beneficial interest (Note: Verification of the beneficiaries may be required by the administrator to the extent warranted by the risk). Where there is no beneficial owner entitled to 25% or more, the natural 	<ul style="list-style-type: none"> - All documents required under standard - Verify the identity of the beneficiaries beneficially entitled to trust's assets or beneficial interest. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/ trustee(s) of the entity must be identified and verified. -Confirmation as to how the settlor was in a position to make the investment. -Due Diligence Questionnaire (incl. SOW/SOF for investor and settlor) -Verify the identity of all trustees (i.e. in accordance with their legal structure or for each individual) <p>Where the applicants are not Regulated Trustees</p>

Appendix 3 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* - Standard	AML Documents Required* - Enhanced
Limited Liability Company ("LLC")	<ul style="list-style-type: none"> - Constitutional document for the LLC (e.g Certificate of Formation) - Operating agreement for the LLC - Identify Managing Members - Verify identity of two Managing Members or one Managing Member and one authorised signatory - Identify and verify any beneficial owner beneficially entitled to 25% or more (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified. - Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only). - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Verify the identity of all members beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; or <ul style="list-style-type: none"> - Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence. - Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO) <p>Where the applicant is domiciled in a high risk jurisdiction, documentation should be certified as true copies of the original.</p>
USA Individual Retirement Account ("IRA")	<ul style="list-style-type: none"> - Identify individual in line with individual requirements as noted above - Proof of regulation for Custodian of the IRA - Constitutional document (or other proof of the existence of the pension) - Original ASL including specimen signatures where applicable 	
Collective Investment Scheme ('CIS')	<ul style="list-style-type: none"> - Copy of the Offering Memorandum / Prospectus or equivalent - Name and Address of Fund's Promoter and Administrator - Name and address of the entity carrying out due diligence on the investors in the CIS and evidence that this entity is regulated for AML purposes. - Identify all investors who own more than 25% of the shares / units of the fund. Where CIS is a corporate body and there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/ director(s) of the entity (investor) must be identified - Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only). - Original ASL including specimen signatures 	<ul style="list-style-type: none"> - Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO) - Identify and verify the identity of any beneficial owner beneficially entitled to more than 10% (directly or indirectly) of the share capital, profit or voting rights or otherwise exercise control over the management of the entity; <p>or</p> <ul style="list-style-type: none"> - Written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence. - Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/director(s) of the entity must be identified and verified. <p>Where the applicant is domiciled in a high risk jurisdiction, documentation should be certified as true copies of the original.</p>
	<ul style="list-style-type: none"> - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board. or - Copy of the Formation document of pension plan - Identify Trustees / Directors / Governors / Board Members or 	<ul style="list-style-type: none"> - All documents required under standard - Identify and Verify identity of plan administrator and entity carrying out AML/CTF controls on scheme investors (per legal form <p>or</p> <ul style="list-style-type: none"> - Written confirmation from the entity carrying out

Appendix 3 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* -	
	Standard	Enhanced
Public Body	<ul style="list-style-type: none"> - Nature and status of the government body or public authority - Name of the home state authority and nature of its relationship with the public body - Evidence of the ownership of the entity - Identify the main public body officials and verify the identity of two officials or, where applicable, one official and one authorised signatory. - Independent research of entity - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Identify and verify the identity of at least two directors or, where applicable, one director and one authorised signatory and evidence of authorisation to act on the customer's behalf. - Due Diligence Questionnaire (incl. SOW/SOF for investor). - Certified copy of the most recent Audited Financial Statements - Where the applicant is domiciled in high risk jurisdiction, documentation should be certified as true copies of the original.
Charity	<ul style="list-style-type: none"> - Copy of relevant charities register or confirmation of the registration of the charity with the relevant tax authorities (e.g. UK Charities Commission/ HMRC). - Nature / purpose including nature of the funding - Identify Trustees / Directors / Governors / Board Members or equivalent - Identify and verify identity of Company Secretary or equivalent, or, where applicable, verify the identity of one of the trustees. - (If a charitable trust), details of the settlor of the charitable trust. - Names or classes of persons who stand to benefit from the objects of the charity, or identify and verify any beneficiary beneficially entitled to 25% or more of the assets. Where there is no beneficial owner entitled to 25% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified. - Evidence of UBO Registration on the Beneficial Ownership Register (Irish investors only). - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard except point 1 - Certified copy of Constitutional / Formation document - Certified copy of the most recent Audited Financial Statements - Due Diligence Questionnaire (incl. SOW/SOF for investor and UBO (if applicable), and jurisdictions funds are received from and paid to where not already evident). - Identify and verify the identity of the beneficiaries (where ascertainable) of the charity. Where there is no beneficial owner entitled to 10% or more, the natural person(s) who hold the position of senior managing official(s)/trustee(s) of the entity must be identified and verified. - Identify and verify the settlor, where applicable. - Where the applicant is not a registered Charity, documentation provided should be certified as true copies of the original documentation.

* Subject to change in line with Irish regulatory requirements and relevant guidelines.

** Document must have signature, must be in date and have clear photo.

*** Document must be recent (under 3 months old), must match application form and must not be a c/o or PO Box Address.

Further Information

General Process

Once your account has been verified you will be contacted by NT who will supply you with an account number in order to complete your investment into the Latitude Horizon Fund or the Latitude Global Fund.

If sending this form via email, please note the following:

Instructions must be in .pdf format, signed by an authorised signatory, and attached to a blank email (i.e. no text, logos or disclaimers to be included in the body of the email) and sent to OrieltaInstructions@ntrs.com. Email instructions sent to any other mailbox will be rejected and no notification of this sent.

- Any text or logos within the body of the email must be removed before sending.
- Only one attachment may be sent per email. Multiple account opening forms may, however, be included within a single attachment.
- Emails containing multiple attachments will be automatically rejected by the Administrator's system.
- Auto-confirmation of receipt will be sent. If you do not receive this, please contact the Administrator by
- Phone: +353 1 434 5178 or Email (queries only): oriel_ta@ntrs.com

Additional Requirements Joint Account Holders and High Risk Jurisdictions

Where the applicant is domiciled in a high risk jurisdiction, the following is also required:

Due Diligence Questionnaire (incl. Source Wealth and Source of Funds)

In the case of joint account holders, please provide documents in respect of all holders.

Where the applicant is domiciled in a high risk jurisdiction, documentation should be certified as true copies of the original.

If the application form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature along with due diligence in line with legal type.