

# HUNTRESS | Investment Fund Offshore

## APPLICATION FORM

Ravenscroft Investment Management Limited (the "Manager") is licensed by the Guernsey Financial Services Commission ("GFSC") to conduct controlled investment business under the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended, and complies with the rules promulgated by the GFSC, including the Authorised Collective Investment Schemes (Class B) Rules 2013.

This application form is made up of four sections and should only be completed once you have read the current scheme particulars (including the relevant appendix), financial accounts and trust instrument of Huntress Investment Fund Offshore. If you would like to receive a copy of the current scheme particulars, financial accounts and trust instrument, please contact Louvre Fund Services Limited (the Administrator) on +44 1481 748955. If you are in any doubt about the information contained within this application form, the trust instrument, the scheme particulars, or the financial accounts you should consult your investment advisor or independent financial advisor. In the event of a conflict between the terms of this application form and the scheme particulars or trust instrument, the terms of scheme particulars will prevail. This application form is current as at the date of publication but is subject to change without notice.

Capitalised terms used and not defined in this application form shall have the meaning given to them in the scheme particulars.

### **PLEASE COMPLETE THE APPLICATION FORM AND RETURN IT TO:**

#### **LOUVRE FUND SERVICES LIMITED**

St Peters House, Le Bordage, St Peter Port, Guernsey GY1 1BR

Contact Louvre on **+44 1481 748955** Facsimile **+ 44 1481 748956** Email **HIFO\_investorservices@louvregroup.com**

# HUNTRESS INVESTMENT FUND OFFSHORE DEALING INFORMATION PACK

## DEALING CUT-OFF TIMES

- 17:00 hours (Guernsey time) on the Business Day prior to the relevant Dealing Day.

Any instructions received after this time will be held over until the next Dealing Day. Please note that 'The Funds' do not deal on Guernsey or UK bank holidays.

## VALUATION POINT

- 11.59pm (Guernsey time) on the Business Day immediately preceding the relevant Dealing Day.

## INITIAL SUBSCRIPTIONS

For all initial investments, the Administrator requires the original Application Form including the required AML/CCD. To expedite the processing of your trade please email the signed PDF copy to: HIFO\_investorservices@louvregroup.com.

The Application Form must then be sent by post to the Administrator's address on the cover page.

## SETTLEMENT OF SUBSCRIPTIONS

The following guidelines are applicable when settling purchases:

- Cleared funds are due no later than four business days immediately following the relevant Dealing Day (T+4).
- Subscription amounts received in a currency other than the base currency of the relevant Sub Fund will be automatically converted into the base currency at the prevailing market rate as determined by the Trustee (or any delegate of the Trustee) in its absolute discretion.

## SUBSEQUENT SUBSCRIPTIONS/REDEMPTIONS

Subsequent trades can be dealt by fax or an email instruction. The instruction must be signed by the appropriate authorised signatories.

## SETTLEMENT OF REDEMPTIONS

The redemption proceeds will normally be paid within four Business Days or in any event within fifteen Business Days after the Dealing Day upon which the units have been redeemed. This will be by telegraphic transfer to the bank account detailed by the Unitholder.

## OUR BANK ACCOUNT DETAILS

### Sterling Payments

Bank	BNP Paribas Securities Services, Jersey
Swift	PARBJESH
Sort Code	60-95-06
Beneficiary Account Name	Lvre Fd Serv - Huntress Clt A/C
Beneficiary Account No.	GB18 PARB 6095 0610 2620 00

Please quote the name of the Sub Fund and client surname.

### US Dollar Payments

Correspondent Bank	BNP Paribas, New York
Swift	BNPAUS3N
Beneficiary Bank	BNP Paribas Securities Services, Jersey
Swift	PARBJESH
Beneficiary Account Name	Lvre Fd Serv - Huntress Clt A/C
Beneficiary Account No.	GB60 PARB 6095 0610 2620 20

Please quote the name of the Sub Fund and client surname.

### Euro Payments

Correspondent Bank	BNP Paribas, Paris
Swift Code	PARBFRPP
Beneficiary Bank	BNP Paribas Securities Services, Jersey
Swift	PARBJESH
Beneficiary Account Name	Lvre Fd Serv - Huntress Clt A/C
Beneficiary Account No.	GB39 PARB 6095 0610 2620 10

Please quote the name of the Sub Fund and client surname.

## SWITCHING SHARES

Unitholders may exchange some or all of their Units in one Sub Fund for Units or another class of Units in another Sub Fund (as appropriate) on any Dealing Day so long as the Minimum Holding is maintained in each Sub Fund. UK Unitholders should be aware that an exchange of Units for another class of Units could constitute a disposal for UK capital gains tax purposes, depending on the circumstances.

## TRANSFER OF UNITS

Some or all of the Units of a Unitholder may be transferred at a price as may be agreed between the Unitholder and the transferee.

Please refer to the latest Scheme Particulars for further information.

## CONTRACT NOTES

Contract notes will normally be issued within 2 business days of dealing.

## DIVIDEND INFORMATION

### For the Huntress Global Income Fund:

Distributions are paid one calendar month after each quarter end

### For the Huntress Global Blue Chip Fund:

Distributions are paid one calendar month after each half-yearly period

## INFORMATION REQUIREMENTS

The following items will be required for an initial subscription:

### For Private Individuals:

- a fully completed Application Form
- a certified true copy of the current valid passport or national identity card or armed forces identity card of each applicant
- a certified copy or original of a utility bill or bank statement or other as proof of the residential address (mobile phone bills or utility bills older than 3 months will not be accepted)

### For Corporates:

- a fully completed Application Form
- a certified copy of the company's certificate of incorporation, the memorandum and articles of incorporation or equivalent constitutive documents
- an original or certified copy of your authorised signatory list
- a certified copy of the current valid passport or national identity card or armed forces identity card of each person authorised to deal on this account
- if the director(s) is an / are individual(s), full details will be required as per the Private Individuals section

### For Trusts:

- a fully completed Application Form
- an original or certified copy of the trust deed, or documentary evidence supporting the existence of the trust
- an original or certified copy of the authorised signatory list for the Trustees
- a certified true copy of the current valid passport of beneficiaries, settlors and other principals
- if the trustee is an individual/corporate, full details will be required as per the Private Individuals & Corporate sections

### For Partnerships:

- a completed application form
- a certified copy of the partnership deed or agreement or equivalent constitutive documents
- the application form should be signed by all partners (if possible)  
If all partners do not sign the application form, a certified copy of the authority in the form of a certified resolution given by all the partners to the applicant should be provided
- an original or certified copy of the authorised signatory list, if instructions are only to be accepted from certain partners
- if the partners are individuals, full details will be required as per the Private Individuals section

Louvre Fund Services Limited reserves the right to request additional due diligence prior to processing your application.

## GUIDANCE ON CERTIFICATION OF DOCUMENTATION

### Certified Copy

- The certifier must disclose any professional memberships.
- The certification on the passport must state **"I hereby certify that this is a true copy of the original document which I have seen, and that any photographic representation contained therein is a true likeness of the individual whom I have met"**. The certifier must sign and date the certification, they must provide contact details to include their email address, the location of where they have signed and they must print their name which has to be legible.
- The certification of the utility bill must state **"I hereby certify that this is a true copy of the original document which I have seen"**. Again, the certifier must sign and date the certification, they must provide contact details to include their email address, the location of where they have signed and they must print their name which has to be legible.

### The following is a list of examples of acceptable persons to certify evidence of identity:

- A member of the judiciary, a senior civil servant, or a serving police or customs officer;
- An officer of an embassy, consulate or high commission of the country or territory of issue of documentary evidence of identity;
- A lawyer or notary public who is a member of a recognised professional body;
- An actuary who is a member of a recognised professional body;
- An accountant who is a member of a recognised professional body;
- A member of the Institute of Chartered Secretaries and Administrators; or
- A director or officer of an Appendix C financial services business (see the definition in Appendix C to the GFSC's Handbook for Financial Services Businesses on Countering Financial Crime and Terrorist Financing) or of a financial services business subject to group/parent policy where the Head Office is situated in a country or territory listed in Appendix C to the Handbook.<sup>1</sup>

<sup>1</sup> Austria, Australia, Belgium, Bermuda, Bulgaria, Canada, Cayman Islands, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Gibraltar, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Jersey, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, New Zealand, Norway, Portugal, Singapore, South Africa, Spain, Sweden, Switzerland, United Kingdom, United States of America.

# HUNTRESS INVESTMENT FUND OFFSHORE

## APPLICATION FORM (PLEASE COMPLETE IN BLOCK LETTERS)

### SECTION 1

#### 1.1 PRIVATE INDIVIDUALS

##### First Named Unitholder

Title (Mr. / Mrs. / Miss.)

Surname

Forenames

Any Previous Names

Date & Place of Birth

Nationality

Occupation

Name & Address of Employer

Postcode

Name of any Public Office Held

Residential Address

Postcode

Source of Wealth  
For all investors we require information as to the activities and their geographical sphere which have generated their total new worth (e.g. Assets and property both within and outside of this relationship). This is described as the source of wealth (e.g. inheritance from grandmother who was a doctor in Guernsey, savings from employment as a dentist in the UK, etc.).

Source of Funds  
We are also required to obtain details of the activity which generates the funds being invested (e.g. rents and trading profits from UK property portfolio). This is described as the source of funds.

Daytime Telephone (Country Code / Number)

Fax (Country Code / Number)

Email (if applicable)

**Second Named Unitholder**

Title (Mr. / Mrs. / Miss.)

Surname

Forenames

Any Previous Names

Date & Place of Birth

Nationality

Occupation

Name & Address of Employer  
  
  
  
 Postcode

Name of any Public Office Held

Residential Address  
  
  
  
  
 Postcode

**Source of Wealth**  
 For all investors we require information as to the activities and their geographical sphere which have generated their total net worth (e.g. Assets and property both within and outside of this relationship). This is described as the source of wealth (e.g. inheritance from grandmother who was a doctor in Guernsey, savings from employment as a dentist in the UK, etc.).

**Source of Funds**  
 We are also required to obtain details of the activity which generates the funds being invested (e.g. rents and trading profits from UK property portfolio). This is described as the source of funds.

Daytime Telephone (Country Code / Number)

Fax (Country Code / Number)

Email (if applicable)

**1.2 CORPORATE/TRUST/PARTNERSHIP**

Name

Account Designation (if applicable)

Registered Address  
  
  
  
 Postcode

Registered/Incorporated In

Registered/Incorporation Number

**Trusts**

Name of Settlor

Residential Address  
  
  
  
  
 Postcode

Name of Trustees

Residential Address

Postcode

Name of Protector (if applicable)

Residential Address

Postcode

Name of First Beneficiary

Residential Address

Postcode

Name of Second Beneficiary

Residential Address

Postcode

Name of Third Beneficiary

Residential Address

Postcode

Name of Fourth Beneficiary

Residential Address

Postcode

(Affix a separate sheet for additional parties)

**Contact Details**

Key Contact

Daytime Telephone (Country Code / Number)

Fax (Country Code / Number)

Email (mandatory)

**1.3 CORRESPONDENCE ADDRESS**

Complete if different from the registered address provided

Address

Postcode

**1.4 BANK ACCOUNT DETAILS**

(Proceeds from the redemption of Units will only be paid to the account as specified in this section of the application form. We may write to your bankers to assist in satisfying our compliance procedures.)

Bank

Branch Address

Postcode

Account Name

Account Number

Sort/Swift Code

**1.5 FINANCIAL ADVISOR DETAILS**

(We may write to your financial advisor to assist in satisfying our compliance procedures.)

Advisor Name

Advisor Address

Postcode

Telephone (Country Code / Number)

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Fax (Country Code / Number)

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Email

**SECTION 2**

**2.1 INVESTMENT DETAILS**

I / we wish to invest (indicate amount) in the following Sub Fund(s)\*:

Fund name	AMC	Class and ISIN	Value to Invest
Huntress Global Balanced Fund	1.50%	I Accumulation Class Units - GG00B3F15Q93	GBP .....
	0.75%	O Accumulation Class Units - GG00BYSYNZ76	GBP .....
Huntress Global Income Fund	0.75%	Distribution Class Units - GG00B4KZSS63	GBP .....
	0.75%	Accumulation Class Units - GG00BF8HLS29	GBP .....
Huntress Global Growth Fund	1.00%	I Accumulation Class Units - GG00B4K3ZD44	GBP .....
	0.75%	O Accumulation Class Units - GG00BYSYP393	GBP .....
Huntress Global Blue Chip Fund	1.00%	I Distribution Class Units - GG00BN707N59	GBP .....
	0.75%	O Distribution Class Units - GG00BN707Q80	GBP .....
	1.00%	I Accumulation Class Units - GG00BN707M43	GBP .....
	0.75%	O Accumulation Class Units - GG00BN707P73	GBP .....

- The I Class is only available to Intermediaries who are entitled to receive trail commission.
- Please note that for all Sub Funds, the minimum initial investment amount is £5,000 or, the equivalent value of £5,000 in USD or EUR (with the prior consent of the Manager). The minimum subsequent investment amount is £500 or the equivalent.
- ***If you are resident outside of the Bailiwick of Guernsey, the Bailiwick of Jersey or the United Kingdom, please tick the below box to confirm that neither Louvre Fund Services Limited nor Ravenscroft Investment Management Limited have solicited this investment.***

**2.2 SUBSCRIPTION CHARGE**

The Manager may charge a subscription fee of up to 5% or such lower percentage indicated below of the subscription amount. Any such charge must be agreed before subscription:

	%
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**SECTION 3****TO: RAVENSCROFT INVESTMENT MANAGEMENT LIMITED,  
LOUVRE FUND SERVICES LIMITED**

and other persons concerned:

**3.1 CLIENT DECLARATION AND SIGNATURE**

1. The person(s) whose full name(s) is/are set out at the start of Section 1 (the "Applicant") hereby irrevocably applies to become a Unitholder in Huntress Investment Fund Offshore (the "Trust") on the terms of the trust instrument establishing the Trust dated 12th November 2008 as amended from time to time (as so amended, the "Trust Instrument") and this Application Form.
2. The Applicant has received and read a copy of the current scheme particulars of the Trust and the appendix in respect of that Sub Fund into which the Applicant proposes to invest (together the "Scheme Particulars") and, in particular, has understood the risk warnings set out in the Scheme Particulars, and the Applicant has had the opportunity to read the copy of the Trust Instrument.
3. Upon acceptance of this Application Form by the Administrator and the issue of the Units applied for, the Applicant shall become a "Unitholder", for all purposes and on the terms of the Trust Instrument as if the Applicant were a party to it.
4. The Applicant agrees that no Units shall be issued to it until it has paid in full in cleared funds the amount in respect of the Units applied for in the manner provided in the Trust Instrument, the Scheme Particulars and this Application Form.
5. The Applicant agrees that if it makes any default in making any payment in connection with its subscription for Units, the Applicant shall indemnify the Manager and/or the Administrator and/or the Trustee in respect of any loss or cost incurred by either of them as a result of such default and the Registrar shall be entitled to make any necessary amendment to the Register.
6. Except where details of different beneficial owners have been provided in Section 1, the Applicant confirms that it will hold its Units for itself beneficially and not as a nominee for others. If the Applicant holds its Units for one or more beneficial owners then each of the acknowledgements, confirmations, representations and warranties in this Application Form are given both for itself and also separately on behalf of each of the beneficial owners, and references in this Application Form to the "Applicant" shall be construed accordingly.
7. The Applicant confirms that it is making this application to acquire Units solely on the basis of the information contained in the Trust Instrument and the Scheme Particulars and not in reliance on any other information, statements, representations or warranties, whether oral or written whatsoever. The Applicant understands and has evaluated the risks connected with subscribing for Units.
8. The Applicant acknowledges that Mourant Ozannes act as Guernsey legal advisors to the Trust, and that no lawyer-client relationship shall be created with any other person solely by reason of such person acquiring an interest in the Trust.
9. The Applicant hereby declares, represents and warrants in the terms set out in Section 3.2 of this Application Form set out below.
10. The Applicant will provide the Manager with such information as the Manager reasonably requests from time to time with respect to the Applicant's citizenship, residency, ownership or control so as to permit the Manager to evaluate and comply with any regulatory and tax requirements applicable to the Trust or any investments or proposed investments of the Trust, provided that any information so provided of a confidential nature shall be kept confidential subject to the terms of the Trust Instrument.

11. In the case of an application to acquire Units as joint Unitholders:
  - (a) each such person authorises any of their number to give subsequent instructions to the Administrator or the Trustee, but the Manager and the Trustee reserve the right to require confirmation of any instructions by all such persons; and
  - (b) this Application Form shall constitute joint and several obligations of all such persons.
12. The information that the Applicant provides in this Application Form (and in any other documents that the Applicant holds or provides in relation to its application for Units) or subsequently by whatever means will be held and processed by Louvre Fund Services Limited as administrator of the Trust (the "Administrator") in compliance with the relevant data protection legislation and regulatory requirements of Guernsey. Such information will be held and processed by the Administrator (or any third party or agent appointed by the Administrator) for the following purposes:
  - (a) verifying the identity of the Applicant for the purpose of preventing fraud or other financial crime; complying with statutory and regulatory requirements in relation to customer due diligence, anti-money laundering and countering financial crime and terrorist financing including the Administrator's own in-house procedures;
  - (b) contacting the Applicant with information about other products and services provided by the Manager which the Manager considers may be of interest to the Applicant;
  - (c) administering the Applicant's investment in the Trust;
  - (d) meeting the legal, regulatory, reporting and/or financial obligations of the Trust or any functionary of the Trust in Guernsey or elsewhere; and
  - (e) disclosing personal data to other functionaries of the Trust for the purpose of operating the Trust.

Where appropriate it may be necessary for the Administrator to transfer personal data outside the European Economic Area to countries or territories which do not offer the same level of protection for the rights and freedoms of Applicants as Guernsey and disclose personal data to third party service providers or agents appointed by the Administrator to provide services to the Applicants in respect of its investment in the Trust.

If the Administrator discloses the personal data to such a third party or agent and/or makes such a transfer of personal data (including outside of the European Economic Area) it will do so in full compliance with applicable data protection legislation and will, where required to do so by law or where it considers appropriate, enter into contracts to ensure that any third party or agent to whom the personal data are disclosed or transferred are contractually bound to provide an adequate level of protection in respect of such personal data.

The Applicant confirms that in respect of each person for whom personal data (including, for example, names, addresses and dates of birth and other relevant personal data contained in copies of utility bills and passports) has been provided to the Manager or the Administrator in respect of this Application Form, that person has carefully read the privacy notice set out on the Manager's website Privacy Policy | Ravenscroft with respect to the Manager's and/or the Administrators collection and maintenance of personal data regarding the Applicant.

Should the Applicant wish for its personal data to be used for any marketing purposes please tick below.

Please use my personal data for marketing purposes

In the case of joint Applicants, if the above request does not relate to all joint Applicants, please indicate to the right the names of those joint Applicants in respect of whom the above request relates.

Any consent provided in this Application Form with respect to the use by the Manager or the Administrator of personal data can be withdrawn at any time.

In the case of joint Applicants, each Applicant is required to provide its personal data to the Administrator and to sign the Application Form so that the Administrator can be satisfied that each of the joint Applicants is aware that their personal data will be processed as stated and has consented (or otherwise) to their personal data being used for marketing purposes.

- 13. Unless the Applicant ticks the box below, the Applicant consents to electronic communications being sent to it by notices or documents being sent in electronic form to its last notified email address.

- 14. Unless the Applicant ticks the box below, the Applicant consents to electronic communications being sent to it by notices or documents being made available on the website at HYPERLINK "http://www.ravenscroft.gg" www.ravenscroft.gg. If the Applicant consents to electronic communication being made available on the website, it will be notified when new communications are available via email to its last notified address.

- 15. The Applicant:
  - (a) acknowledges that the disclosure to the public of any confidential information in respect of the affairs of the Trust (including without limitation the terms of the Trust Instrument, financial statements or other financial information regarding the Trust, or information regarding the performance of the Trust or any or all of its proposed or actual investments) would be likely to result in competitive disadvantage and to cause irreparable harm to the Trust, the Manager, the Trustee and/or their Associates; and
  - (b) hereby irrevocably authorises the Manager to take such action as is reasonably necessary and proportionate to protect against any such disclosure (or any further disclosure) by or as a result of actions of the Applicant.

Without limiting the generality of the foregoing, this may result in the Applicant being required to waive its right in future to receive any such confidential information, and applies even where the disclosure is/was believed to be mandatory (for example in relation to a disclosure under freedom of information or similar legislation).

- 16. Words and expressions used in this Application Form shall bear the same meanings as in the Trust Instrument, unless expressly stated otherwise.
- 17. This Application Form and the rights, obligations and relationships of the parties under this Application Form and the Trust Instrument shall be governed by and construed in accordance with the laws of the Island of Guernsey.
- 18. The Applicant irrevocably agrees that the courts of Guernsey are to have non-exclusive jurisdiction to settle any disputes which may arise out of or in connection with this Application Form, the Trust Instrument or the acquisition of Units, and that accordingly any suit, action or proceedings arising out of or in connection with this Application Form, the Trust Instrument or the acquisition of Units shall be brought in such courts. The Applicant hereby waives, to the extent not prohibited by applicable law, and agrees not to assert, as a defence or otherwise, in any such proceeding, any claim that it is not subject personally to the jurisdiction of such courts, that any such proceeding brought in such courts is improper or that this Application Form, the Trust Instrument or the subject matter hereof or thereof may not be enforced in or by such courts.

**First Named Signatory**

Print Name

Date

**Second Named Signatory**

Print Name

Date

**Joint Signatory Authority**

I/we authorize the Manager to act upon instructions placed by any one Unitholder on behalf of all joint Unitholders.

Please tick here if this facility is NOT required

### 3.2 REPRESENTATIONS AND WARRANTIES

1. The Applicant hereby represents and warrants that:

(a) it is: (please tick the appropriate box, and complete where necessary)

Resident in the United Kingdom for tax purposes

OR

Resident in  for tax purposes

- (b) it has been given the opportunity to ask questions of, and receive answers from, the Trustee and the Manager with respect to the business to be conducted by the Trust, the financial condition and capital of the Trust, the terms and conditions of its subscription for Units and other matters pertaining to investment in the Trust, and has been given the opportunity to obtain additional information necessary to verify the accuracy of the information contained in the Scheme Particulars, in order for it to evaluate the merits and risks of investment in the Trust (to the extent that the Trust possesses relevant information or can acquire it without unreasonable effort or expense);
- (c) it has read carefully, and is making its application to acquire Units solely on the basis of, the information contained in the Trust Instrument and the Scheme Particulars, and is not relying on any other information statements, representations or warranties (whether oral or written) with respect to the offering of Units in the Trust by the Trustee, the Manager or any agent, partner, officer, director, employee, shareholder or affiliate of any of them;
- (d) it has the financial ability to bear the economic risk of its investment in the Trust and is aware that it may have to bear the economic risk of investment in the Trust until such time as its investment in the Trust can be realised in accordance with the Trust Instrument;
- (e) it could bear a complete loss of its investment in the Trust, and has adequate means for providing for its current needs and possible contingencies;
- (f) it is aware that an investment in the Trust involves substantial risks and has determined acquiring Units is a suitable investment for it;
- (g) it has no need for immediate liquidity with respect to its investment in the Trust and understands that Unitholders cannot withdraw from the Trust, and Units cannot be redeemed or transferred, except in the circumstances provided in and in accordance with the Trust Instrument;
- (h) with regard to the tax, legal, currency and other economic considerations related to its investment in the Trust, it has only relied on the advice of, or has only consulted with, its own professional advisors;
- (i) if the Applicant is a corporation, partnership, trust or other entity, it is duly authorised and qualified to become a Unitholder in the Trust and the individual or individuals signing this Application Form and giving these warranties on the Applicant's behalf have been duly authorised by it to do so, and this Application Form constitutes, and (upon acceptance of this Application Form by the Administrator) the Trust Instrument will constitute, legal, valid and binding obligations of the Applicant, enforceable against it in accordance with their terms;
- (j) the execution and delivery of this Application Form, the performance by the Applicant of its obligations under this Application Form and the Trust Instrument, and the consummation of the transactions contemplated hereby and thereby will not conflict with, or result in any violation of or default under, any provision of any governing instrument applicable to the Applicant, or any material agreement or other instrument to which it is a party or by which it or any of its properties are bound, or any permit, franchise, judgment, decree, statute, rule or regulation applicable to it or its properties;
- (k) any information that the Applicant has previously furnished to the Manager or the Trustee (and also furnishes with this Application Form) with respect to its financial position and business experience, is true, correct and complete as of the date of this application, and if there should be any change in such information prior to the Applicant becoming a Unitholder, it will immediately furnish in writing such revised or corrected information to such person;
- (l) all information provided by the Applicant in Section 1 of this Application Form is true, correct and complete as of the date of this application, and if there should be any change in such information (whether prior to or after the Applicant's application is accepted by the Manager) it will immediately furnish in writing such revised or corrected information to the Manager;
- (m) it is acquiring an interest in the Trust for investment only, and not with a view to or for resale or distribution in the United States; and
- (n) it is not a U.S. Person. For this purpose, a "U.S. person" means: For such purpose, but subject to such applicable law and to such changes as may be notified by the Manager to applicants for Units and transferees, a US Person shall have the same meaning as in Regulation S, as amended from time to time, of the United States Securities Act 1933 Act as amended from time to time (the "1933 Act"). Regulation S currently defines a "US Person" as: (a) any natural person who is a resident of the United States; (b) any partnership or corporation organised or incorporated under the laws of the United States; (c) any estate of which any executor or administrator is a US Person as defined in sub-paragraphs (a) and (b) herein; (d) any trust of which any trustee is a US Person as defined in sub-paragraphs (a) and (b) herein; (e) any agency or branch of a foreign entity located in the United States; (f) any non-discretionary account or similar account (other than an estate or trust) held by a dealer or similar fiduciary for the benefit or account of a US Person; (g) any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organised, incorporated or, if an individual, resident in the United States; or (h) any partnership or corporation (i) if organised or incorporated under the laws of any foreign jurisdiction and (ii) formed by a US Person principally for the purpose of investing in securities not registered under the 1933 Act, unless it is organised or incorporated, and owned, by accredited investors (as defined in Rule 501(a) under the 1933 Act) who are not natural persons, estates or trusts. "US Person" does not include: (a) a discretionary account or similar account (other than an estate or trust) held for the benefit or account of a non-US Person by a dealer or other professional fiduciary organised, incorporated or, if an individual, resident in the United States; (b) any estate of which any professional fiduciary acting as executor or administrator is a US Person if (i) an executor or administrator of the estate who is not a US Person has sole or shared investment discretion with respect to the assets of the estate and (ii) the estate is governed by foreign law; (c) any trust of which any professional fiduciary acting as trustee is a US Person if a trustee who is not a US Person has sole or shared investment discretion with respect to the trust assets, and no beneficiary of the trust (and no settlor if the trust is revocable) is a US Person; (d) an employee benefit plan established and administered in accordance with the law of a country other than the United States and customary practices and documentation of such country; or (e) any agency or branch of a US Person located outside the United States if (i) the agency or branch operates for valid business reasons and (ii) the agency or branch is engaged in the business of insurance or banking and is subject to substantive insurance or banking regulation, respectively, in the jurisdiction where located.
- (o) to notify the Administrator immediately if I/we become aware that any of the client declarations / representations and warranties in this Application form are no longer accurate and complete in all respects.

**3.3 YOUR AUTHORISATION**

Signature

Print Name

Date

Signature

Print Name

Date

**Louvre Fund Services Limited,**

St Peters House, Le Bordage, St Peter Port, Guernsey GY1 1BR

Telephone **+ 44 1481 748955** Facsimile **+ 44 1481 748956**

Email **HIFO\_investorservices@louvregroup.com**

# HUNTRESS | Investment Fund Offshore

## TAX RESIDENCY SELF-CERTIFICATION FORM FOR INDIVIDUALS AND CONTROLLING PERSONS

UNDER THE AUTOMATIC EXCHANGE OF FINANCIAL ACCOUNT INFORMATION

### INSTRUCTIONS

**Please read these instructions before completing the form.**

Regulations based on the OECD Common Reporting Standard ("CRS") require Ravenscroft to collect and report certain information about an Account Holder's tax residence.

We may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the States of Guernsey Income Tax Office and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

You can find summaries of defined terms such as an Account Holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax status or other mandatory field information that makes this form incorrect or incomplete. **In that case you must notify us and provide an updated self-certification within 30 days of such change occurring.**

**If you are a U.S. Person, you should indicate that you are a U.S. Person on this form and should also complete an IRS Form W-9.**

This form is intended to request information consistent with local law requirements.

**Please fill in this form if you are an individual Account Holder, sole trader or sole proprietor or Controlling Person. For joint or multiple Account Holders, use a separate form for each individual person.**

**Where you need to self-certify on behalf of an entity Account Holder, do not use this form. Instead, you will need an "Tax Residency Self-Certification for Entities."**

If you are filling in this form on behalf of someone else, you should indicate the capacity in which you have signed in Part 4. For example, you may be the custodian or nominee of an account on behalf of the Account Holder, or you may be completing the form under a power of attorney.

**As a financial institution, we are not allowed to give tax advice.**

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal.

Version: April 2018

Guernsey: +44 (0)1481 729100 / Jersey: +44 (0)1534 722051

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PLEASE COMPLETE PARTS 1-3 IN BLOCK CAPITALS

**Part 1 - Identification of Account Holder or Controlling Person****A. Name of Account Holder or Controlling Person**

Family Name or Surname(s)*	
Title	
First or Given Name*	
Middle Name(s)	

**B. Current Residence Address**

Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any)*	
Line 2 (e.g. Town/City/Province/County/State)*	
Country*	
Postal Code/ZIP Code (if any)*	

**C. Mailing Address (please only complete if different to the address shown in Section B)**

Line 1 (e.g. House/Apt/Suite Name, Number, Street)	
Line 2 (e.g. Town/City/Province/County/State)	
Country	
Postal Code/ZIP Code (if any)	

**D. Date of Birth**

(dd/mm/yyyy)*	
---------------	--

**E. Place of Birth**

Town or City of Birth*	
Country of Birth*	

**Part 2 - Country / Jurisdiction of Residence for Tax Purposes and Related Taxpayer Identification Number \* ("TIN") or Functional Equivalent (See Appendix)**

Please complete the following table indicating

- (i) where the Account Holder or Controlling Person is tax resident; and
- (ii) the Account Holder's or Controlling Person's TIN for each country/jurisdiction indicated.  
**Guernsey and Jersey tax residents should provide their social security number.**

*If tax resident in more than three countries/jurisdictions, please use a separate sheet.*

If a TIN is unavailable please provide the appropriate reason **A, B or C** where indicated below:

**Reason A** The country/jurisdiction where the Account Holder or Controlling Person is resident does not issue TINs to its residents.

**Reason B** The Account Holder or Controlling Person is otherwise unable to obtain a TIN or equivalent number Please explain why you are unable to obtain a TIN in the below table if you have selected this reason.

**Reason C** No TIN is required. *(Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).*

	Country/Jurisdiction of Tax Residence	TIN / Functional Equivalent	If no TIN available enter Reason A, B or C
1			
2			
3			

*Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.*

1	
2	
3	

**Part 3 - Type of Controlling Person**

(To be completed by Controlling Persons only).

Please provide the Controlling Person's Status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
A. Controlling Person of a legal person - <i>control by ownership</i>			
B. Controlling Person of a legal person - <i>control by other means</i>			
C. Controlling Person of a legal person - <i>senior managing official</i>			
D. Controlling Person of a trust - <i>settlor</i>			
E. Controlling Person of a trust - <i>trustee</i>			
F. Controlling Person of a trust - <i>protector</i>			
G. Controlling Person of a trust - <i>beneficiary</i>			
H. Controlling Person of a trust - <i>other</i>			
I. Controlling Person of a legal arrangement (non-trust) - <i>settlor-equivalent</i>			
J. Controlling Person of a legal arrangement (non-trust) - <i>trustee-equivalent</i>			
K. Controlling Person of a legal arrangement (non-trust) - <i>protector-equivalent</i>			
L. Controlling Person of a legal arrangement (non-trust) - <i>beneficiary-equivalent</i>			
M. Controlling Person of a legal arrangement (non-trust) - <i>other-equivalent</i>			



**Part 4 – Declarations and Signature\***

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with Ravenscroft setting out how Ravenscroft may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder or Controlling Person and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which the account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder or Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder or a Controlling Person) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise Ravenscroft of any change in circumstances which affects the tax residency status of the Account Holder or Controlling Person identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, and to provide Ravenscroft with a suitably updated self-certification and Declaration within 30 days of such change occurring.

I am a U.S. Person (You must tick one box) Yes  No

Signature*	
Print name*	
Date* (dd/mm/yyyy)	

**Note:** If you are not the Account Holder or Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity*	
-----------	--

### Summary Descriptions of Select Defined Terms

**Note:** These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the CRS), the associated Commentary to the CRS, and domestic guidance. This can be found at the OECD automatic exchange of information portal.

If you have any questions then please contact your tax adviser or domestic tax authority.

**“Account Holder”** The term “Account Holder” means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

**“Active NFE”** An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

An entity will be classified as Active NFE if it meets any of the following criteria:

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

**Note:** Certain entities (such as U.S. Territory NFFEs) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS

**“Control”** over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person or persons are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

**“Controlling Person”** This is a natural person who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity (“NFE”) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

**“Controlling Persons of a trust”**, means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.

In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

**“Entity”** The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation.

**“Financial Account”** A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

**“Investment Entity”** The term “Investment Entity” includes two types of Entities:

- (i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
- Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
  - Individual and collective portfolio management; or
  - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a customer.

- (ii) “The second type of “Investment Entity” (“Investment Entity managed by another Financial Institution”) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

**“Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution”** is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not resident in, or a branch located in, a Participating Jurisdiction.

**“Investment Entity managed by another Financial Institution”** An Entity is “managed by” another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of ‘Investment Entity’.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity’s assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

**“Participating Jurisdiction”** A “Participating Jurisdiction” means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

**“Participating Jurisdiction Financial Institution”** The term “Participating Jurisdiction Financial Institution” means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

**“Passive NFE”** Under the CRS a “Passive NFE” means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

**“Reportable Account”** The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

**“Reportable Jurisdiction”** A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

**“Reportable Person”** A Reportable Person is an individual (or entity) that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the “Reportable Person”; however, in the case of an Account Holder that is a Passive NFE, a Reportable Person also includes any Controlling Persons who are tax resident in a Reportable Jurisdiction. Dual resident individuals may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

**“TIN” (including “functional equivalent”)** The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

**“U.S. Person”** For federal tax purposes, you are considered a U.S. Person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organised in the United States or under laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7)

# HUNTRESS | Investment Fund Offshore

## TAX RESIDENCY SELF-CERTIFICATION FORM FOR ENTITIES UNDER THE AUTOMATIC EXCHANGE OF FINANCIAL ACCOUNT INFORMATION

### INSTRUCTIONS

**Please read these instructions before completing the form.**

Regulations based on the OECD Common Reporting Standard (“CRS”) require Ravenscroft to collect and report certain information about an Account Holder’s tax residency. We may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the States of Guernsey Income Tax Office and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

You can find summaries of defined terms such as an Account Holder, and other terms, in the Appendix.

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder’s tax status or other mandatory field information that makes this form incorrect or incomplete. **In that case you must notify us and provide an updated self-certification within 30 days of such change occurring.**

This form is intended to request information consistent with local law requirements.

**Please complete this form where you need to self-certify on behalf of an entity Account Holder.**

**If you are an individual Account Holder or sole trader or sole proprietor or Controlling Person do not complete this form. Instead please complete a “Tax residency self-certification form for Individuals and Controlling Persons.”**

**For joint or multiple Account Holders please complete a separate form for each Account Holder.**

If the Account Holder is a U.S. Person under U.S. law, you should indicate that the Account Holder is a U.S. Person on this form and you should also complete an IRS Form W-9.

Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution, you should provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as “Controlling Person(s)”) by completing a “Tax residency self-certification form for Individuals and Controlling Persons” for each Controlling Person.

You should indicate the capacity in which you have signed in Part 6. For example you may be the custodian or nominee of an account on behalf of the Account Holder, or you may be completing the form under a signatory authority or power of attorney.

**As a financial institution, we are not allowed to give tax advice.**

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal.

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PLEASE COMPLETE PARTS 1 - 3 IN BLOCK CAPITALS

**Part 1 - Identification of Account Holder**

**A. Legal Name of Entity/Branch\***

--

**B. Country of Incorporation or Organisation**

--

**C. Current Residence Address**

Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any)*	
Line 2 (e.g. Town/City/Province/County/State)*	
Country	
Postal Code/ZIP Code (if any)*	

**D. Mailing Address (please only complete if different to the address shown in Section C above)**

Line 1 (e.g. House/Apt/Suite Name, Number, Street)	
Line 2 (e.g. Town/City/Province/County/State)	
Country	
Postal Code/ZIP Code	

**Part 2 - Country/Jurisdiction of Residence for Tax Purposes and Related Taxpayer Identification Number \* ("TIN") or Functional Equivalent (See Appendix)**

Please complete the following table indicating:

- (i) where the Account Holder is tax resident; and
- (ii) the Account Holder's TIN for each country/reportable jurisdiction indicated. Countries/jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable Jurisdiction).

If the Account Holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or jurisdiction in which its principal office is located.

If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet.

If a TIN is unavailable please provide the appropriate reason **A, B or C where appropriate:**

- Reason A** The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.
- Reason B** The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).
- Reason C** No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Country/Jurisdiction of Tax Residence	TIN or Functional Equivalent	If no TIN available enter Reason A, B or C
1		
2		
3		

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	
3	

**Part 3 - Entity's Classification Under FATCA**

You must complete this section

I am a U.S. Person (*You must tick one box*) Yes  No

Please tick only one box

A) If your organisation is a Financial Institution, please specify which type:

<b>3.1</b>	<b>Guernsey or Jersey Financial Institution or a Partner Jurisdiction Financial Institution</b>	
<b>3.2</b>	<b>Participating Foreign Financial Institution (in a non-IGA jurisdiction)</b>	
<b>3.3</b>	<b>Non-Participating Foreign Financial Institution</b>	
<b>3.4</b>	<b>Financial Institution resident in the USA or in a US Territory</b>	
<b>3.5</b>	<b>Exempt Beneficial Owner</b>	
<b>3.6</b>	<b>If you are a Deemed Compliant / Non-Reporting Financial Institution, please state below what type using the applicable IGA terminology</b>	

Type : \_\_\_\_\_

If you are a Financial Institution, please provide your Global Intermediary Identification Number ("GIIN") below, or the GIIN of your Sponsor:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name of Sponsor (if applicable) \_\_\_\_\_

B) If your organisation is not a Financial Institution, please specify the entity's FATCA status below:

<b>3.7</b>	<b>Active Non-Financial Foreign Entity</b>	
<b>3.8</b>	<b>Passive Non-Financial Foreign Entity (If you tick this box, you must also complete Section 5)</b>	

**Part 4 - Entity's Classification Under CRS**

You must complete this section

Please tick only one box

<b>4.1</b>	<b>Financial Institution (other than 4.2 below)</b>	
<b>4.2</b>	<b>An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If you tick this box, you must also complete Section 5)</b>	
<b>4.3</b>	<b>Active Non-Financial Entity which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity, Central Bank or an International Organisation</b>	
<b>4.4</b>	<b>Active Non-Financial Entity (other than those listed in 4.3 above)</b>	
<b>4.5</b>	<b>Passive Non-Financial Entity (If you tick this box, you must also complete Section 5)</b>	

**Part 5 - Details of Controlling Persons**

You must complete this section if you have ticked 3.8, 4.2 or 4.5 above

Each Controlling Person must complete a separate Tax Residency Self-Certification Form for Individuals and Controlling Persons.

If there are no natural person(s) who exercise direct or indirect control of the entity then the Controlling Person will be the natural persons(s) who holds the position of senior managing official of the entity.

Name of Controlling Person	Capacity in which acting as Controlling Person (Trustee, beneficiary, protector etc.)

**Part 6 - Declaration and Signature\***

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Ravenscroft setting out how Ravenscroft may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise Ravenscroft of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in Part 5, and to provide Ravenscroft with a suitably updated self-certification and Declaration within 30 days days of such change occurring.

Signature*	
Print name*	
Date* (dd/mm/yyyy)	

**Note:** If you are not the Account Holder or Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity*	
-----------	--

### Summary Descriptions of Select Defined Terms

**Note:** These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD “Common Reporting Standard for Automatic Exchange of Financial Account Information” (the “CRS”), the associated “Commentary” to the CRS, and domestic guidance. This can be found at the OECD automatic exchange of information portal.

If you have any questions then please contact your tax adviser or domestic tax authority.

**“Account Holder”** The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

**“Active NFE”** An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial group;
- start-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

An entity will be classified as Active NFE if it meets any of the following criteria:

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

**Note:** Certain entities (such as U.S. Territory NFFEs) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS.



**“Control”** “Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, then under the CRS the Reportable Person is deemed to be the natural person who hold the position of senior managing official.

**“Controlling Person(s)”** “Controlling Persons” are the natural person(s) who exercise control over an entity. Where that entity is treated as a Passive Non-Financial Entity (“Passive NFE”) then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). Under the CRS the settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, are always treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.

In the case of a legal arrangement other than a trust, “Controlling Person(s) means persons in equivalent or similar positions.

**“Custodial Institution”** The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

**“Depository Institution”** The term “Depository Institution” means any Entity that accepts deposits in the ordinary course of a banking or similar business.

**“FATCA”** FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

**“Entity”** The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

**“Financial Institution”** The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

**“Investment Entity”** The term “Investment Entity” includes two types of Entities:

- (i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
  - Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
  - Individual and collective portfolio management; or
  - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons. Such activities or operations do not include rendering non-binding investment advice to a customer.
- (ii) The second type of “Investment Entity” (“Investment Entity managed by another Financial Institution”) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity.

**“Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution”** The term “Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution” means any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.

**“Investment Entity managed by another Financial Institution”** “An Entity is “managed by” another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of ‘Investment Entity’.

An Entity only manages another Entity if it has discretionary authority to manage the other Entity’s assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.

**“NFE”** An “NFE” is any Entity that is not a Financial Institution.

**“Non-Reporting Financial Institution”** A Non-Reporting Financial Institution” means any Financial Institution that is:

- a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- an Exempt Collective Investment Vehicle; or
- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust;
- any other defined in a countries domestic law as a Non-Reporting Financial Institution.

**“Participating Jurisdiction”** A “Participating Jurisdiction” means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

**“Participating Jurisdiction Financial Institution”** The term “Participating Jurisdiction Financial Institution” means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

**“Passive NFE”** Under the CRS a “Passive NFE” means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

**“Related Entity”** An Entity is a “Related Entity” of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

**“Reportable Account”** The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

**“Reportable Jurisdiction”** A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

**“Reportable Jurisdiction Person”** A Reportable Jurisdiction Person is an Entity that is tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s) - by reference to local laws in the country where the Entity is established, incorporated or managed. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office.

Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.

**“Reportable Person”** A “Reportable Person” is defined as a “Reportable Jurisdiction Person”, other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a Related Entity of a corporation described in clause (i);
- a Governmental Entity;
- an International Organisation;
- a Central Bank; or
- a Financial Institution (except for an Investment Entity described in Sub Paragraph A(6) b) of the CRS that are not Participating Jurisdiction Financial Institutions. Instead, such Investment Entities are treated as Passive NFE’s.)

**“Resident for tax purposes”** Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine whether an entity is tax resident in the jurisdiction on the OECD automatic exchange of information portal. Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. For additional information on tax residence, please talk to your tax adviser or see the OECD automatic exchange of information portal.

**“Specified Insurance Company”** The term “Specified Insurance Company” means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

**“TIN” (including “functional equivalent”)** The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for Entities, a Business/company registration code/number.

**“U.S. Person”** For federal tax purposes, you are considered a U.S. Person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organised in the United States or under laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7)