



WAVERTON  
INVESTMENT MANAGEMENT

## WAVERTON INVESTMENT FUNDS SICAV

Société d'Investissement à Capital Variable  
Registered Office: 44, Rue de la Vallée, L-2661 Luxembourg  
R.C.S. Luxembourg B 179.624

### APPLICATION FORM for initial subscriptions only

This Form is for the exclusive use of investors subscribing WAVERTON INVESTMENT FUNDS SICAV (the "Company") which has appointed Casa4Funds SA as Management Company, ING Luxembourg as Depositary and European Fund Administration S.A. ("EFA") as Central Administrative Agent.

As part of an initial investment in the Company, this Form, duly completed, should be sent by fax together with the accompanying documentation, to EFA:

EFA  
PO Box 1725  
L-1017 Luxembourg  
Fax: +352 48 65 61 8002  
Att. Transfer Agent

For any question please contact EFA by phone (+352 48 48 80 261)

By applying for shares in the Company and completing this Application Form you are providing personal data to the Company. This data will be used by the Company, its delegates and agents for the purposes of administration, analysis, research and disclosure that may be required. Your consent is necessary for the use of your personal data by the Company, its delegates and agents and such consent is deemed to be given upon completion of this Application Form.

#### Applicant Details

Section A should only be completed by any individual;  
Section B should only be completed by corporate investors;  
Section C must be completed by all investors.

#### A. PERSONAL INVESTORS

##### (i) Address for registration

Only one address is accepted for registration and will be used for all correspondence<sup>1</sup>

Address	
Country	Postcode

##### (ii) Names for registration

Surname	
Forename	Title Mr / Mrs / Miss
Permanent Address	
Country	Postcode
Tel No.	Fax No.

<sup>1</sup> This address should be the address of the registered shareholder e.g. the nominee's address if shares are held by a nominee. In the case of individual applicants applying for shares in their own name this address will appear on the register of shareholders and should therefore be a residential address. The applicant may be required to provide proof of this address. PO Boxes or 'care of' addresses are not acceptable



Email Address

Occupation

Date of Birth

Nationality

Place of Birth

Passport/Identity Card No.

*For joint holders only*

Surname

Forename

Title Mr / Mrs / Miss

Permanent Address

Country

Postcode

Tel No.

Fax No.

Email Address

Occupation

Date of Birth

Nationality

Place of Birth

Passport/Identity Card No.

**(iii) Politically exposed persons (and closely related persons or relatives)**

I hereby declare that I am or I have been entrusted with prominent public functions (or to be closely connected to a politically exposed person):

Yes

No

If Yes, please specify:

**(iv) US Foreign Account Tax Compliance Act ("FATCA")**

*Investor Self-Certification is required in order to determine whether or not the Account Holder, Joint-Holder and/or Power of Attorney / Legal Representative is/are resident in the United States of America for tax purposes.*

Self-Certification of the Main Holder	I am tax resident in the following Non-U.S. country / jurisdiction and have the following tax identification number: Country / jurisdiction: _____ Tax identification number: _____
	<input type="checkbox"/> I hereby declare that I am resident in the United States of America for tax purposes, conform to the explanations provided in the IRS' W-9 Form and Instructions as available through the following internet addresses: IRS Form W-9: <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">www.irs.gov/pub/irs-pdf/fw9.pdf</a> and IRS Form W-9 Instructions: <a href="http://www.irs.gov/pub/irs-pdf/iw9.pdf">www.irs.gov/pub/irs-pdf/iw9.pdf</a> My tax identification number (TIN) is: _____ A duly completed and signed IRS Form W-9 must be enclosed to this "Information Form For Private Investor": <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">www.irs.gov/pub/irs-pdf/fw9.pdf</a>



Self-Certification of the Main Holder <i>(continued)</i>	<p>I hereby declare that I am not resident in the United States of America for tax purposes, conform to the explanations provided in the IRS' W-8bBEN Form and Instructions as available through the following internet addresses:          IRS Form W-8BEN: <a href="http://www.irs.gov/pub/irs-pdf/fw8ben.pdf">www.irs.gov/pub/irs-pdf/fw8ben.pdf</a>          and IRS Form W-8BEN Instructions: <a href="http://www.irs.gov/pub/irs-pdf/iw8ben.pdf">www.irs.gov/pub/irs-pdf/iw8ben.pdf</a>          A duly completed and signed IRS Form W-8BEN must be enclosed to this "Information Form For Private Investor" or can be requested by EFA at a later stage: <a href="http://www.irs.gov/pub/irs-pdf/fw8ben.pdf">www.irs.gov/pub/irs-pdf/fw8ben.pdf</a></p> <input type="checkbox"/>
Self-Certification of the Joint Holder (if applicable)	<p>I am tax resident in the following Non-U.S. country / jurisdiction and have the following tax identification number:          Country / jurisdiction: _____ Tax identification number: _____</p>
	<p>I hereby declare that I am resident in the United States of America for tax purposes, conform to the explanations provided in the IRS' W-9 Form and Instructions as available through the following internet addresses:          IRS Form W-9: <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">www.irs.gov/pub/irs-pdf/fw9.pdf</a>          and IRS Form W-9 Instructions: <a href="http://www.irs.gov/pub/irs-pdf/iw9.pdf">www.irs.gov/pub/irs-pdf/iw9.pdf</a>          My tax identification number (TIN) is: _____          A duly completed and signed IRS Form W-9 must be enclosed to this "Information Form For Private Investor": <a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">www.irs.gov/pub/irs-pdf/fw9.pdf</a></p> <input type="checkbox"/>
	<p>I hereby declare that I am not resident in the United States of America for tax purposes, conform to the explanations provided in the IRS' W-8bBEN Form and Instructions as available through the following internet addresses:          IRS Form W-8BEN: <a href="http://www.irs.gov/pub/irs-pdf/fw8ben.pdf">www.irs.gov/pub/irs-pdf/fw8ben.pdf</a>          and IRS Form W-8BEN Instructions: <a href="http://www.irs.gov/pub/irs-pdf/iw8ben.pdf">www.irs.gov/pub/irs-pdf/iw8ben.pdf</a>          A duly completed and signed IRS Form W-8BEN must be enclosed to this "Information Form For Private Investor" or can be requested by EFA at a later stage: <a href="http://www.irs.gov/pub/irs-pdf/fw8ben.pdf">www.irs.gov/pub/irs-pdf/fw8ben.pdf</a></p> <input type="checkbox"/>

**(v) International Exchange of Fiscal Information - Common Reporting Standard ("CRS") - Declaration of Tax Residence**

*Investor Self-Certification is required in order to determine the tax residence(s) of the Account Holder, the Beneficial Owner or the Controlling Person for tax purposes. Please note that you may choose more than one country. Provision of the Tax Identification Number (TIN) is required unless you are tax resident in a country / jurisdiction that does not issue a TIN.*

I am tax resident in the following country/jurisdiction and have the following Tax Identification Number:

Self-certification of the Account Holder, the Beneficial Owner or the Controlling Person*	Country / jurisdiction:		TIN**	
	Country / jurisdiction:		TIN**	
	Country / jurisdiction:		TIN**	
	Country / jurisdiction:		TIN**	
	If applicable, please specify the reason for non-availability of a TIN**:			

\*\* For further information, please refer to: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers>  
 If the country of tax residence either does not issue a TIN or does not require the TIN to be disclosed, please indicate "N/A"



**B. CORPORATE INVESTORS**

**(i) Name and address for registration**

Please enter the company's name, correspondence address, registered address and registration number.

Company Name	
Correspondence Address	
Country	Postcode
Tel No.	Fax No.
Email Address	
Registered Address (if different from above)	
Country	Postcode
Tel No.	Registration Number
Brief description of the company's principal activities	

**(ii) US Foreign Account Tax Compliance Act ("FATCA")**

Investor Self-Certification is required in order to determine whether or not the Account Holder is resident in the United States of America (U.S.) for tax purposes.

FATCA Self-Certification	The signatory(ies) of the present Form declare(s) that the Entity identified in section "Company details" qualifies as :	
	<input type="checkbox"/>	A <b>Reporting Financial Institution</b> under the Intergovernmental Agreement (IGA) signed between the U.S. and the country of domicile of the Entity (the country of the registered address of the Company indicated under "Company details") or a <b>Participating Foreign Financial Institution</b> under FATCA Final Regulations. The Entity is to be considered as fully compliant with all relevant FACTA obligations. The Entity is registered with the IRS and its Global Intermediary Identification Number (GIIN) is (please indicate hereunder):
		Please indicate hereunder the Entity's FATCA Point of Contact (or Responsible Officer):
		Name and First Name:
		Title/Function:
		Name and Street Nr:
		Postal Code and Town:
		Telephone number:
		Fax number:
E-Mail address:		



FATCA Self-Certification (continued)	<input type="checkbox"/>	Otherwise, please attach to this Information Form a Self-Certification in the form of the pertaining IRS withholding certificate duly completed and signed, as available through the following links:		
	Web link to W-8BEN-E form:	<a href="http://www.irs.gov/pub/irs-pdf/fw8bene.pdf">www.irs.gov/pub/irs-pdf/fw8bene.pdf</a>	and its instruction manual:	<a href="http://www.irs.gov/pub/irs-pdf/iw8bene.pdf">www.irs.gov/pub/irs-pdf/iw8bene.pdf</a>
	Web link to W-8IMY form:	<a href="http://www.irs.gov/pub/irs-pdf/fw8imy.pdf">www.irs.gov/pub/irs-pdf/fw8imy.pdf</a>	and its instruction manual:	<a href="http://www.irs.gov/pub/irs-pdf/iw8imy.pdf">www.irs.gov/pub/irs-pdf/iw8imy.pdf</a>
	Web link to W-8EXP form:	<a href="http://www.irs.gov/pub/irs-pdf/fw8exp.pdf">www.irs.gov/pub/irs-pdf/fw8exp.pdf</a>	and its instruction manual:	<a href="http://www.irs.gov/pub/irs-pdf/iw8exp.pdf">www.irs.gov/pub/irs-pdf/iw8exp.pdf</a>
	Web link to W-9 form:	<a href="http://www.irs.gov/pub/irs-pdf/fw9.pdf">www.irs.gov/pub/irs-pdf/fw9.pdf</a>	and its instruction manual:	<a href="http://www.irs.gov/pub/irs-pdf/iw9.pdf">www.irs.gov/pub/irs-pdf/iw9.pdf</a>

**(iii) International Exchange of Fiscal Information – Common Reporting Standard (“CRS”) Declaration of Tax Residency – Account Holder**

Entity Self-Certification is required in order to determine the tax residence(s) of the Account Holder for tax purposes. Please note that you may choose more than one country.

Provision of the Tax Identification Number (TIN\*\*) is required unless you are tax resident in a country / jurisdiction that does not issue a TIN\*\*.

If you have any questions related to your CRS status, please speak with your tax adviser or your tax authorities.

For further information on CRS please refer to the OECD automatic exchange of information portal:

<http://www.oecd.org/tax/automatic-exchange>.

Entity’s Tax Residence(s)			
Country / jurisdiction:		TIN**	
Country / jurisdiction:		TIN**	
Country / jurisdiction:		TIN**	
Country / jurisdiction:		TIN**	
If applicable, please specify the reason for non-availability of a TIN**:			

\*\* For further information, please refer to: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers>  
If the country of tax residence either does not issue a TIN or does not require the TIN to be disclosed, please indicate “N/A”

Entity’s CRS Classification	
The information provided in this section is for CRS, please note your CRS classification may differ from your FATCA classification	
Custodial Institution, Depository Institution, Specified Insurance Company or Investment Entity other than an Investment Entity under A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction	<input type="checkbox"/>
An Investment Entity under A(6)(b) of Section VIII of the CRS resident in a Non-Participating Jurisdiction. If this box is ticked, please include Controlling Person self-certification forms for each of your Controlling Persons	<input type="checkbox"/>
Active Non-Financial Entity – (i) a corporation the stock of which is regularly traded on an established securities market or (ii) a corporation which is a related entity of such a corporation If you fall under the definition of (i), please provide the name of the established securities market on which the corporation is regularly traded: _____ If you fall under the definition of (ii), please provide the name of the regularly traded corporation that the entity is a Related Entity of: _____	<input type="checkbox"/>
Active Non-Financial Entity – a Government Entity or Central Bank	<input type="checkbox"/>



Active Non-Financial Entity – an International Organisation	<input type="checkbox"/>
Active Non-Financial Entity – other than specified above (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
Passive Non-Financial Entity If this box is ticked, please include Beneficial Ownership/Controlling Person forms for each of your Controlling Persons	<input type="checkbox"/>

### C. DEALING INSTRUCTIONS

Amount	Number of Shares	Sub-Funds	ISIN Codes	Currency
OR		Waverton European Capital Growth Fund – L Class – Dist. Minimum subscription: €500,000	LU0968447275	EUR
		Waverton European Capital Growth Fund – Retail Dist. Minimum subscription: £10,000	LU0986115417	GBP
		Waverton European Capital Growth Fund – Institutional Dist. Minimum subscription: €1,000,000	LU0968447358	EUR
		Waverton European Capital Growth Fund – Institutional Dist. Minimum subscription: £1,000,000	LU0968447432	GBP
		Waverton European Capital Growth Fund – Institutional Dist. Minimum subscription: \$1,000,000	LU1366340971	USD
		Waverton European Capital Growth Fund – Institutional Acc. Minimum subscription: \$1,000,000	LU1387218925	USD
		Waverton European Capital Growth Fund – Institutional Hedged Dist. Minimum subscription: £30,000,000	LU1206603570	GBP
		Waverton European Capital Growth Fund – Institutional Hedged Dist. Minimum subscription: \$1,000,000	LU1206603810	USD
		Waverton European Capital Growth Fund – F Class Dist. Minimum subscription: £30,000,000	LU1551072439	GBP
		Waverton European Capital Growth Fund – F Class Dist. Minimum subscription: €30,000,000	LU1748241939	EUR
		Waverton European Dividend Growth Fund – L Class Dist. Minimum subscription: £500,000	LU0968447515	GBP
		Waverton European Dividend Growth Fund – Institutional A Dist. Minimum subscription: £1,000,000	LU0968447606	GBP
		Waverton European Dividend Growth Fund – Institutional B Dist. Minimum subscription: £ 3,000,000	LU0968447788	GBP
		Waverton European Dividend Growth Fund – Institutional Hedged Dist. Minimum subscription: £3,000,000	LU1206604115	GBP
		Waverton European Dividend Growth Fund – Institutional Dist. Minimum subscription: \$3,000,000	LU1366341193	USD
		Waverton European Dividend Growth Fund – Institutional Hedged Dist. Minimum subscription: \$3,000,000	LU1206604388	USD
		Waverton European Dividend Growth Fund – F Class Dist. Minimum subscription: €30,000,000	LU1748242077	EUR
		Waverton European Dividend Growth Fund – F Class Dist. Minimum subscription: £30,000,000	LU1748242150	GBP



Amount	Number of Shares	Sub-Funds	ISIN Codes	Currency
	OR	Waverton European Dividend Growth Fund – F Class Hedged Dist. Minimum subscription: £30,000,000	LU1748242234	GBP
		Waverton Southeast Asian Fund – Retail Acc. Minimum subscription: \$100,000	LU1060841571	USD
		Waverton Southeast Asian Fund – L Class Dist. Minimum subscription: \$250,000	LU1451555509	USD
		Waverton Southeast Asian Fund – Institutional Acc. Minimum subscription: \$1,000,000	LU1060842033	USD
		Waverton Southeast Asian Fund – Institutional Hedged Acc. Minimum subscription: £1,000,000	LU1206604891	GBP
		Waverton Southeast Asian Fund – Institutional Dist. Minimum subscription: \$1,000,000	LU1206605195	USD
		Waverton Southeast Asian Fund – Institutional Hedged Dist. Minimum subscription: £1,000,000	LU1206605351	GBP

**N.B.**  
**CUT OFF TIME:** For the sub-funds Waverton European Capital Growth Fund and Waverton European Dividend Growth Fund, subscription applications received by the Transfer Agent in Luxembourg by 3.00 pm (Luxembourg time) on the applicable Valuation Date are, if acceptable, processed on the basis of the NAV as at the Valuation Date using the closing prices of the same day.

For the sub-fund Waverton Southeast Asian Fund, subscription applications received by the Transfer Agent on the Bank Business Day in Luxembourg preceding the Valuation Date by 11.59 pm (Luxembourg time) to be dealt with on the basis of the Net Asset Value per Share applicable on that Valuation Date. Applications for shares received by the Registrar and Transfer Agent after that cut-off time will be dealt with on the next Valuation Date.

**TRADE DATE:** The subscription amount is payable in the currency in which the sub-fund/shareclass is denominated within 3 (three) Bank Business Days following the applicable Valuation Date.

**SHADED BOX: ONLY RELEVANT FOR INVESTORS INTO THE SUB-FUND WAVERTON SOUTHEAST ASIAN FUND. Please initial below to confirm consent to the following statement:**

"I/we authorise the Board of Directors (BoD) to decide that a payment in-kind of securities of the Sub-Fund be made to me/us in lieu of paying redemption proceeds in cash, in specific and extremely infrequent market conditions, where this is reasonably deemed to be the best way to ensure equal treatment of both redeeming and continuing Shareholders of the Sub-Fund. In such an event, the assets to be transferred to my/our benefit shall be determined by the Fund's BoD, on a pro-rata basis but with regard to the practicality of the transfer of the assets, and to the equal treatment of both redeeming and continuing Shareholders of the Sub-Fund. The selection, valuation and transfer of assets shall be subject to the review and approval, if required by the applicable laws and regulations or the BoD, of the Fund's Auditors".

Please initial:

**Use of fax:** EFA are authorised to accept and execute any future instructions received by fax until written notice of the contrary, the applicant assuming all risks, e.g. those arising from an error in communication or comprehension as well as those arising from fraud, resulting from the use of this communication mean and relieving EFA from any and all responsibility in this respect.



Confirmation of registration or certificate will normally be sent to the address mentioned in section "Applicant Details" above unless specifically provided otherwise for that purpose below:

Contact person

Swift / Telex address

Tel No.

Fax No.

In case of a subscription for a number of shares, EFA as Registrar Agent will confirm the exact amount to be wired to the Fund Account once the NAV is finalised.

### Form of Ownership

- Registered shares with a confirmation of their recording in the Register of Shareholders (Suggested Solution)
- Registered shares with issuance of a certificate

## D. PAYMENT INSTRUCTIONS

	Sending GBP to a UK based account	Sending Euros to Luxembourg	Sending GBP to Luxembourg	Sending USD to Luxembourg
BENEFICIARY BANK	ING London	ING BANK LUXEMBOURG	ING BANK LUXEMBOURG	ING BANK LUXEMBOURG
SWIFT CODE	INGBGB22 (SORT: 23-88-59)	C ELLULLXXX	C ELLULLXXX	C ELLULLXXX
<b>WAVERTON EUROPEAN DIVIDEND GROWTH FUND</b>				
ACCOUNT NAME	ING London – WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN DIVIDEND GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN DIVIDEND GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN DIVIDEND GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN DIVIDEND GROWTH FUND
IBAN CODE	GB04 INGB 2388 5920 4889 35 (Acc no: 20488935)	LU18 0141 7495 2400 0000	LU97 0141 9495 2400 3030	LU13 0141 5495 2400 3010
<b>WAVERTON EUROPEAN CAPITAL GROWTH FUND</b>				
ACCOUNT NAME	ING London – WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN CAPITAL GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN CAPITAL GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN CAPITAL GROWTH FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON EUROPEAN CAPITAL GROWTH FUND
IBAN CODE	GB15 INGB 2388 5920 4888 34 (Acc no: 20488834)	LU34 0141 9495 2410 0000	LU08 0141 1495 2410 3030	LU29 0141 7495 2410 3010
<b>WAVERTON SOUTHEAST ASIAN FUND</b>				
ACCOUNT NAME	N/A	N/A	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON SOUTHEAST ASIAN FUND	WAVERTON INVESTMENT FUNDS SICAV – WAVERTON SOUTHEAST ASIAN FUND
IBAN CODE	N/A	N/A	LU93 0141 1499 2010 3030	LU17 0141 7499 2010 3010
REFERENCE	[Fund + Class Name] + [Register Shareholder Name]	[Fund + Class Name] + [Register Shareholder Name]	[Fund + Class Name] + [Register Shareholder Name]	[Fund + Class Name] + [Register Shareholder Name]

Against payment:

- Clearstream (only for the sub-funds Waverton European Capital Growth Fund and Waverton European Dividend Growth Fund)





Subscription, conversion monies will be transferred by EFA to the account of the Company.

**Are you the ultimate beneficial owner of the shares?** (If not please advise as to who is)  Yes  No

**Please indicate the source of funds to be invested with the Company.**

(The administrator reserves the right to request documentary proof e.g. income statement, balance sheet, bank statement.)

- |  |   |
|--|---|
| <input type="checkbox"/> Compensation Payment                                  | <input type="checkbox"/> Pension, Retirement Income           |
| <input type="checkbox"/> Gift  | <input type="checkbox"/> Sale of Business                     |
| <input type="checkbox"/> Salary or bonus                                       | <input type="checkbox"/> Profit from sale of Investment       |
| <input type="checkbox"/> Investment Income (e.g. interest, dividends)          | <input type="checkbox"/> Profit from sale of Property         |
| <input type="checkbox"/> Loan  | <input type="checkbox"/> Inheritance/ Distribution from Trust |
| <input type="checkbox"/> Savings   | <input type="checkbox"/> Other                                |
| <input type="checkbox"/> Maturity of Insurance Policy of Fixed Term Investment |   |

**Anti-money laundering regulations**

Pursuant to the applicable Luxembourg laws and to the circulars of the Luxembourg supervisory authority, obligations have been outlined to prevent the use of undertakings for collective investment such as the Company for money laundering purposes. As a result of such provisions, **EFA must identify the subscriber unless the subscription order has been submitted by another recognized professional of the financial sector, subject to an obligation of identification equivalent to that required by Luxembourg law.**

Anti-money laundering and anti-terrorism financing measures in force in the Grand Duchy of Luxembourg require subscribers for shares to declare to the Company their identity or the identity of any intended beneficial owners of the shares (if they are not the subscriber e.g. where the subscriber is a corporate entity or acts as trustee or nominee). The Company is required to establish controls to determine the identity of subscribers (and any persons on whose behalf they are acting).

**Depending on the circumstances of each application, the documentation requested by EFA, described at points (a), (b), (c) and (d), might be waived where:**

1. the application is made through a recognised intermediary of a FATF country.

This exception will only apply if the financial institution or intermediary referred to above is situated within a country recognised as having sufficient anti-money laundering regulations.

It is generally accepted that professionals of the financial sector resident in a country which has ratified the conclusions of the Financial Action Task Force ("FATF") are deemed to have procedures equivalent to that required by Luxembourg law.

Except for the above mentioned point 1., subscriptions will only be accepted if accompanied by the following documentation:

**(a) For Individuals:**

Evidence of name, signature, date of birth and photographic identification: a clear certified copy of valid passport or national identity card (certified as true copy by an ambassador, consulate, notary or local police)

**(b) For Companies:**

**Where the company is a corporation which is either quoted on a stock exchange in an EU Member State or in one of the QFI<sup>2</sup> prescribed countries, or is known to be the subsidiary of such a quoted**

<sup>2</sup> A QFI is a financial institution or other financial intermediary that is itself or is part of a group that is located within, and subject to the anti-money laundering regulation of, a country recognised as having sufficient anti-money laundering regulations such as a member state of the European Union that is subject to the EC Money Laundering Directive or a member country of the Financial Action Task Force.



**company;**

- (i) an up-to-date list of Authorised Signatories;
- (ii) in case of a subsidiary of a quoted company/ recognised financial services provider in a FATF **member** country: mother company certification & authorised signatory list of the mother company

**Where the company is a private company, the following additional information should be included:**

- (iii) the original or certified copy of the certificate of incorporation or similar document;
- (iv) a copy of constitutional documents (articles & memorandum of association, formation and partnership agreements);
- (v) a list of directors & the identity of the directors and all persons authorised to operate the account, independently verified (by means of passport copies, certified as true copy by ambassador, consulate, notary or local police);
- (vi) a list of shareholders mentioning the assets held by each of them & detailed information (including the address, information on the ultimate beneficial owner) and identification documents of all shareholders with 25% and more of the assets. If this concerns individual(s), then verification of their identity as described under (a) is also required.

**(c) For Partnerships and Unincorporated Businesses:**

- (i) a copy of any certificate of registration and (if available) a certificate of good standing, if registered;
- (ii) identification as described above, for individuals and where relevant, companies constituting a majority of the Partners, owners or managers and Authorised Signatories;
- (iii) a copy of the mandate from the Partnership or Business authorising the subscription in the form, for example, of a certified resolution which includes naming Authorised Signatories;
- (iv) a copy of constitutional documents (formation and partnership agreements).

**(d) For Trustees:**

- (i) identification, as described above, for individuals or companies (as the case may be) in respect of the Trustees;
- (ii) identification, as described above for individuals, of beneficiaries, any person on whose instructions or in accordance with whose wishes the Trustee/nominee is prepared or accustomed to act and the settlor of the trust;
- (iii) evidence of the nature of the duties or capacity of the Trustee.

**Further documentation may be requested in order to comply with the legal and compliance requirements.**

**Copies of identification documents thus provided should be certified as being “true and correct copies of the original” by an ambassador, consulate, notary or local police of the jurisdiction of which you are resident.**



## Declarations by the subscriber

By signing below I/we make the following declarations:

- I/We, acting as beneficial owners of the shares to subscribe, declare that all the information mentioned on this Application Form is correct. Pursuant to the applicable Luxembourg laws and circulars of the Luxembourg supervisory authority relating to the prevention of money laundering and financing of terrorism, I/We confirm that the monies invested do not derive from illegal activities and are not in contravention with the said laws and regulations.
- I/We hereby declare that I am not/none of us is a US Person as defined in the Prospectus of the Company or a corporation controlled by, or a majority of whose shares are held by, US Persons and that upon registration of the shares hereby applied for in my/our name(s) (or in any other name(s) in which I/we may request) no US Person will be interested in such shares, and that I am not/none of us is acquiring those shares for the purpose of re-sale to a US Person.
- I/We agree that the shares may neither be held for nor transferred to investors with US residence and/or US nationality.
- I am/We are aware that subscription orders may be refused.
- I/We understand and accept that this subscription is made on the basis of and subject to the Prospectus and Articles of Incorporation.
- I/We declare that I am/we are over 18 years of age.
- I/We declare that the money representing the purchase costs of the shares is not derived from the proceeds of crime and I/we understand and acknowledge that additional documentation may be required in order to ensure compliance with anti-money laundering laws, rules and regulations.
- I/We confirm that where this subscription has been signed on behalf of a company or other entity the person signing is a duly authorized person in this regard.
- I/We acknowledge that I/we have read, agreed and understood the contents of this subscription form and have had the opportunity prior to completing it to request and read the Prospectus (including the Risk Warnings contained therein) and Articles of Incorporation and understand that the subscription for shares is made on the basis of them.
- I/We certify that all the information provided in this document is accurate at the time it is signed.
- I/We undertake to immediately notify EFA if any of the information provided in this document changes.
- I/We certify having been informed that, if I/we were to opt for the reporting of information to the tax authorities in connection with the Directive 2003/48/EC, I/we must use the requisite form to notify EFA and must provide the latter with the requisite Power of Attorney for Reporting of Information.

## Notes

1. For rules governing Subscriptions please refer to the Prospectus in force.
2. In the case of joint application, joint applicants must sign this Application Form. Each joint applicant shall have capacity to represent any other joint applicant in its relation to the Company, including at general meetings of shareholders. Unless otherwise specified, notices of Waverton Investment Funds Sicav shall be sent to the first of the joint applicants only.
3. Personal data or any information relating to the applicant will be stored until the applicant ceases to be a shareholder of the Company or (if later) as long as the Company and/or its service providers are required by the applicable laws and regulations to store such data.



The applicant acknowledges that a failure to provide any of the personal data or information requested in the Application Form will cause the non processing of his application.

The applicant hereby consents to inform the Data Processor of any change in his personal data or information.

The applicant has the right of access to his personal data and to general information on the data processing by the Data Processor, free of charge, upon application to the Data Processor and at reasonable intervals. The applicant has the right of rectification of his personal data.

4. If this Application Form is signed by an attorney, the Power of Attorney must accompany this form and be duly notarised.

5. The Company reserves the right to reject any application in whole or in part in which event the application monies or any balance thereof will be passed to the applicant at his own risk within fourteen days of the rejection of the application. Applicants should complete and sign where indicated.

Executed in minimum 4 copies for:

- Company (the Sicav)
- Management Company
- Registrar Agent
- Distributor

and if any, in addition one copy will be executed for each of the under mentioned parties:

- Branch
- Business Agent

### Data protection

Shareholders are informed that their personal data or information given in the subscription documents or otherwise in connection with an application to subscribe for shares, as well as details of their shareholding, will be stored in digital form and processed by the Company and/or its service providers as Data Processors pursuant to the Luxembourg law of 2nd August 2002 on data protection.

The applicant expressly consents by supplying his personal data, for the following purposes:

- identification of the applicant (as well as of the ultimate economic beneficiary, if different) to comply, among others, with legal obligations under applicable anti-money laundering / anti-terrorism financing legislation,
- maintenance of a register of shareholders,
- administration of the applicant's holding,
- provision to the applicant of notices on products and services offered by the group,
- conducting of statistical and historical analyses on an anonymous basis, and
- more generally, complying with applicable legislation and/or regulatory requirements.

The applicant hereby consents that his personal data or any information relating to him be disclosed be disclosed (i) to any entity of the promoter's group and any affiliate, or (ii) to any authority in any country when required by law or regulation.

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

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