

Application Form for Individual and Joint Investors

If you are in any doubt about the contents of this document, you should consult your accountant, legal professional, tax adviser or financial adviser.

The shares will not be finally allotted until the Administrator is satisfied that the application form is completed in full, due diligence documentation is received and acceptable for all applicants and cleared funds have been received. The Company reserves the right to reject any application in whole or in part, in which event the application money or any balance will be returned to the applicant as soon as practical, and all bank charges will be borne by the applicant.

If the amount paid does not correspond to a specific number of shares, the Company will issue such number of shares as is applicable, calculated to three decimal places.

Your application to invest in the Company should be made by completing the Application Form and emailing the duly completed and signed form together with certified copies of your due diligence (refer to Annexure 1) to the Investment Adviser AND the Administrator, details below.

ALL COMPLETED APPLICATIONS, ACCEPTABLE DUE DILIGENCE AND INVESTMENT MONEY MUST BE RECEIVED ON OR BEFORE THE 2 DECEMBER 2022.

Investment Adviser: Investec Corporate & Institutional Banking
Telephone: +27 (0)11 291 3092
Email: **SPSupport@investec.co.za**

Administrator: Sanne Fund Services (Guernsey) Limited (formerly Praxis Fund Services Limited)
Telephone: +44 (0) 1481 737600
Email: **basketsrollover@sannegroup.com**

The original application form and original certified due diligence MUST follow by courier to the Investment Adviser at the address below;

Address: C/o ICIB – Structured Products, Investec Bank Ltd, 36 Hans Strijdom Avenue,
Cape town, 8001 South Africa

Section 1: Investment in Asia Pacific Basket Limited

Please select the class you wish to invest in.

AUD Class A: ☐

USD Class B: ☐

If you are an **Existing investor**, please write your holder code number here

Please insert the amount you wish to invest in either AUD or USD, noting the minimum investment amount is AUD16,000 or USD11,000.

**Investment currency
and amount**

**Upfront fee %
(if applicable)**

**VAT % on upfront fee
(if applicable)**

**Total upfront fee
including VAT**

Section 2: Individual or Joint applicants – natural persons

If you are investing as a joint/multiple applicant/s please print section **2 and 4** as many times as required and complete and return.

Registered name (this is how the name will appear on the Company register)

First name(s)

Middle name(s)

Surname/Family name

Maiden/previous name(s)

Date of birth

Country of birth

Nationality **

Passport number/ID

2nd passport number/ID (if applicable)

**** If you have dual nationality, please provide below how this was obtained e.g. through parent, naturalisation, residence, etc. If through naturalisation, please also provide the date of change. Due diligence verification documents will be required for each nationality.**

Residential address

Postal code

Mailing/Postal address

Postal code

Telephone number

Mobile number

Investor Email address (please print)

For the purpose of receiving accounts, reports and other communication. If you are unable to receive these notices by email, please notify us immediately.

[illegible]

Occupation details:

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Specify your source of wealth (“SOW”)

Examples of SOW could include savings built up from years of accrued salary and bonuses, inheritance of shares from a family business which has been paying dividends for a specified period of time, accumulated profits held in a shareholders' fund from a specified business over time, or a series of stratified investments in a specified field/industry.

Source of funds is the activity which generated the monies which are being invested. Remitter details and information on the location of the SOF should also be included to demonstrate the origin of the funds. **

Examples of evidence could include wage slips, bonus contracts, sale of property agreements, financial statements of family business, contract note confirming the sale of an investment or the will confirming the inheritance.

**If your investment is being made using money gifted to you from another party or an inheritance, the source of wealth and source of funds of that individual will also be required.

High Risk Factors

Are you a:

- (i) Politically Exposed Person (“**PEP**”) or associated with a PEP? (e.g. by a family relationship or business relationship?);
- (ii) a Commercially Exposed Person (“**CEP**”) or
- (iii) a resident or nationality from a High Risk Jurisdiction? (**Please see annexure 3 for definitions**)

By signing this application form I confirm that we have read and understood the definitions of a PEP, CEP and High Risk Jurisdiction in annexure 3.

If I have ticked No in the box below, I confirm that I am not now nor have I ever been a **PEP** or closely related to a **PEP**. I confirm that if this changes we will advise the Administrator with the relevant changes as soon as practical.

Yes ☐ No ☐

If you are a **PEP** please also provide the position held or if you are associated to a **PEP** the name of the **PEP**, position held and how you are associated to them (eg husband, wife, father, business associate) below;

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Section 3: Financial Adviser Details

All applications must be made through a financial adviser, please provide the details below. The application will not be accepted without this section completed.

Financial Adviser Entity Name			
Financial Adviser Individual's Name			
FSP Number			
Postal Address			
		Postal Code	
Telephone Number (incl. area code)			

Section 4a: FATCA

I, as named in this application form, hereby confirm by the signing of this application form that I, as at the date of this application form, am liable to be assessed for tax in the jurisdiction/s I have stated in section 4b.

Section 4b: CRS

I as named in this application form hereby confirm by the signing of this application form that I am liable to be assessed for tax in the jurisdiction/s I have indicated in the below table.

I confirm, (i) where I am a tax resident, (ii) my Tax Identification Number (“**TIN**”) for each country indicated and (if applicable) my National Insurance Number (“**NIN**”).

If a TIN or NIN is unavailable, I have provided the appropriate reason **A**, **B** or **C**:

Reason A The country where I am liable to pay tax does not issue TINs or NINs to its residents.

Reason B I am otherwise unable to obtain a TIN or NIN 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 authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Country of tax residence	TIN or NIN	Reason for no TIN or NIN		
		A	B	C
1. <input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. <input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. <input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

For further information on the collection of tax information please refer to Annexure 2. If you have any questions on how to complete the information above, please contact your tax adviser.

Section 5: Bank Account Details

To comply with applicable anti-money laundering (“**AML**”) and counter-terrorism financing (“**CTF**”) rules and regulations there is a requirement to provide the following information. The subscription money **MUST** be received from an account in the name of the applicant(s)/ investor/s. The Administrator will not accept 3rd party payments of any kind. Please ensure that the residential address shown on your bank account matches your residential address written on this application form.

The Administrator will pay redemption proceeds to the bank account details supplied below. The Administrator will not be responsible for late payments due to incorrect or incomplete instructions. The Administrator will not be liable for any bank charges which may be deducted or guarantee that they will achieve the best FX rate for the conversion of any redemption proceeds that is requested in a non-base currency of the Company.

ALL redemptions will be paid in USD (including the AUD Share Class). If you wish to receive any other currency than USD please stipulate in the currency section below.

APPLICANT BANK ACCOUNT DETAILS	
Account name	<input type="text"/>
Account number	<input type="text"/>
Name and address of the bank	<input type="text"/>

Name of branch SWIFT Code	
Sort code	
Currency	
Additional comments	

Company bank account details will be provided upon application.

The Investment Manager, the Investment Adviser, the Administrator and the Company accept no responsibility for the transfer of funds to the nominated bank account, nor will they guarantee that they will achieve the best FX rate for the conversion of any subscription money that is not received in the base currency of the Company. It is the applicant's responsibility to ensure that the funds are received by the Company in its nominated account on or before 2 December 2022.

Section 6: Terms and Conditions

- 1) **Words and phrases:** Words and phrases used in this application form shall have the same meaning ascribed to them as in the Prospectus (available in electronic format).
- 2) **Incomplete application forms:** If money is received in the Company's bank account but the application form is incomplete either from a regulatory or legal standpoint, the Company will be unable to proceed with the investment until all satisfactory information is received.
- 3) **Transfer of funds:** The Investment Manager, the Company and the Administrator accept no responsibility for the transfer of funds to the Company's nominated bank account. It is the applicant's responsibility to ensure that the funds are received by the Company in its nominated account on or before the Closing Date.
- 4) **Refusal of applications:** The Investment Manager, the Company and the Administrator reserve the right to refuse applications for investment at their discretion.
- 5) **Receipt of instructions:** All application forms and client due diligence must be received in original signed form.
- 6) **Minimum subscription amount:** The minimum subscription amount is noted in this application form or Prospectus.
- 7) **Contract notes:** To avoid unnecessary expense and to facilitate redemption of shares, share certificates will not be issued, contract notes will be issued in their place.

Section 7: Declaration (all applicants must sign this declaration)

1. I/We, as named in this application form, hereby confirm by the signing of this application form that I/we understand that the information supplied by me/us may be used and shared by the Administrator. I/We acknowledge that the information contained in this application form and information regarding myself/ourselves may be provided to the tax authorities of the country in which this information is maintained and exchanged with tax authorities of any other country/ies in which I/we may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
2. I/We, as named in this application form, hereby confirm by the signing of this application form that I/we certify that I am/we are the individual/s to which this form relates, or I am/ we are authorised to sign for the Individual/s
3. I/We, as named in this application form, hereby confirm by the signing of this application form that I/we certify that where I/we have provided information regarding any other person (such as a controlling person or other reportable person to which this form relates) that I/we will, within 30 days of signing this form, notify those persons that I/we have provided such information and that such information may be provided to the tax authorities of the country in which the information is maintained and exchanged with tax authorities of any other country/ies in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information

4. I/We, as named in this application form, hereby confirm by the signing of this application form that I/we declare that all statements made in this declaration are, to the best of my/our knowledge and belief, correct and complete.
5. I/We, as named in this application form, hereby confirm by the signing of this application form that I/we undertake to advise the Administrator within 30 days of any change in circumstances which affects the tax residency status of the individual/s identified in this form or causes the information contained herein to become incorrect, and to provide the Administrator with a suitably updated self-certification and declaration within 90 days of such change in circumstances.
6. I/We warrant that all the information given in this application, and in all documents that have been or will be signed by me/us in connection with the application, whether in my/our handwriting or not, is true and complete.
7. I/We agree that all the statements in this application and the documents stated above shall be the basis of the proposed contract, that any mis-statement or omission made by myself/ourselves therein may lead to any contract made being declared void by the Company and/or the Administrator, and the Company shall be entitled to deduct all costs and expenses incurred by the Company and/or the Administrator in connection with any mis-statement or omission made by myself/ourselves, from all monies paid by myself/ourselves.
8. I/We agree that no statement, whether made by myself/ourselves or by the person canvassing for or handling this application or by any other person, shall be binding upon the Company and/or the Administrator unless the same be reduced to writing, submitted to the Company and the Administrator and made part of the contract.
9. I/We agree that should this application be accepted by the Company and the Administrator it will be conditional upon there having been no material alteration to the facts on which the acceptance was based.
10. I/We have read and understood the Company's Prospectus and have acquainted myself/ourselves with the charges of the Investment Adviser, the Administrator, and the Company
11. I/We agree and acknowledge that if an Adjustment Event (such as a change in law, tax, hedging costs etc) occurred under the Debt Instruments it will reduce the amount to be paid to the Company and then the capital protection to be provided by the Debt Instruments may not be fully effective.
12. I am/We confirm that I am/we are not resident in the United States of America and its territories nor resident in any jurisdiction where investments in the Company would be unlawful or otherwise not permitted.
13. I/We confirm that I am/we are 18 years of age or over and are aware of and accept the risks involved in investing in the Company. I am/We are applicants that can afford to take a higher degree of risk, which may include the risk of the loss of my/our entire investment, and who have/has extensive knowledge and experience in financial and business matters and is/are capable of evaluating the merits and risks associated with an investment in the Company.
14. I am/We are aware that taxation consequences might be relevant to the acquisition, holding or disposal of the shares and that I/we will take appropriate tax advice in this regard and ensure that I/we comply with all laws applicable to my/our country of residence. I/We agree that the Company cannot be held responsible for any tax liability that arises as a result of investing in the Company.
15. I/We have carefully read and understood all the terms and conditions outlined in the Prospectus and above, (including but not limited to the applicant undertakings set out therein) and agree to be bound thereby and warrant the terms thereof.
16. I/We acknowledge that the accounts and notices of the Company will be sent electronically and will be sent to the email address provided in this application form.
17. I/We the undersigned confirm that I/we have read and understood this declaration and understand its implications.
18. I/We acknowledge and agree that I/we have reviewed the company Privacy Notice on the website provided at <https://www.sannegroup.com/online-services/investec-basket-information/>
19. I/We hereby agree to provide such information as the Company deems necessary, which may be requested from time to time in order to comply with FATCA and CRS.
20. The applicant/s hereby agree and acknowledge that the Company, the Controller Affiliates and the Administrator may transfer the personal information to a third country without Adequacy in accordance with the terms of the Privacy Notice as set out in Annexure 3 (Privacy Notice).
21. The investment objective as described in the Prospectus of the Company is twofold: to preserve the shareholder's capital in USD; and to give meaningful participation in the growth in international equity markets. Interest rates and credit spreads have shown significant volatility in recent months as global inflation and the prospect of recession in many countries has influenced markets. As of early September 2022, interest rates and credit spreads are at elevated levels, which in turn improves the potential equity participation of the Company over the next 5.3 years. The Investment Adviser will therefore seek to purchase some instruments (being some of the Debt Instruments as well as interest rate hedges) ahead of the product trade date in order to secure these attractive levels. I/we note that it is not possible to purchase all of the Debt Instruments ahead of trade date given the uncertain size of the trade. These instruments will be sold on to the Company on trade date at the same levels at which they are acquired. This will ensure that the Company can still meet its investment objectives even if the market yield on the Debt Instrument is lower than current levels on trade date. In addition, the interest rate hedge will ensure that the Company still benefits from any further material increases in interest rates (more than a 1% increase in the USD 5yr swap rate). I/we are aware that movement in interest rates between now and the trade date will have the following effect on the payoff and day 1 valuation in various scenarios.

Change in Debt Instrument yield	-1%	1%	1.50%	2%
Change in equity participation	-3.94%	3.94%	18.55%	33.16%
Day 1 valuation gain or loss*	3.24%	-3.24%	-3.24%	-3.24%

Note: The above indicative table assumes a total company size of USD200m on trade date. Any valuation gain or loss on day one will only be realized to the extent that the Shareholder sells prior to the end of the investment term that commences pursuant to the Prospectus.

By signing this form, the applicant acknowledges that they have received, understood and if required, taken guidance on the Prospectus, and accept that the investment is suitable to their specific investment objectives and needs.

Please note electronic signatures are only accepted using docusign.

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Sole/1st applicant signature

Date

Place

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2nd or joint applicant signature

Date

Place

Important: This application form needs to be supported by relevant due diligence, as detailed in Annexure 1. When completing and returning this application form for investment, please do not return the Annexure pages.

Annexure 1: Due Diligence Requirements

All applicants must provide due diligence documents as detailed below.

The documentation required will vary depending on the type of applicant and whether you reside in an Appendix C country or territory as defined in the Handbook for Financial Services Businesses on Countering Financial Crime and Terrorist Financing, issued by the Guernsey Financial Services Commission ("**the Handbook**").

Appendix C jurisdictions can be found here;

<https://www.gfsc.gg/sites/default/files/uploads/20191129%20-%20Appendix%20C%20-%20Equivalent%20Jurisdictions.pdf>

Please refer to relevant section/s below to ensure the following due diligence documentation accompanies the application form.

Individual applicants (*for joint applications due diligence for each natural person is required*)

Verification of identity for each applicant;

Original certified copy of one of the following documents, each document must have a clear legible photograph and if dual nationality is held, please provide verification for each nationality;

- Valid passport
- National identity card
- Armed force's identity card
- Driving licence (this cannot be used for both identity and address, a separate verification must be provided for each)

Verification of residential address for each applicant;

Original certified copy of one of the following documents, each document must be dated within 3 months and all documents must be for a residential address, we do not accept C/O addresses, PO Box addresses or mobile telephone bills.

- Utility bill (water, electricity, gas, internet, home telephone)
- Bank statement
- Credit card/debit card statement
- Council Tax invoice (or other correspondence from a government department or agency)
- Home visit letter by your regulated IFA
- Co habitation letter (If verification of address is provided by way of a letter of co-habitation from a person who is not party to the investment due diligence documentation on that party will also be required).
- Driving licence (this cannot be used for both identity and address, a separate verification must be provided for each)

Electronic statements are acceptable but must be accompanied by a screenshot of the issuer portal and/or an email from the issuer to the recipient.

Investors applying from 'high risk' jurisdictions will be required to provide additional documentation which can be requested from the Administrator.

Important:

1. Should any other party retain signing authority over the investment (e.g. financial adviser) then due diligence documentation in respect of such other party will also be required by the Company and an original certified copy of such agreement between the parties.
2. All applications from non-Appendix C Jurisdictions will be considered on a case-by-case basis and additional due diligence documentation may be requested.

3. The Administrator reserves the right to request additional documentation as and when required. If an applicant is unable to supply any of the documentation described, they should contact the Administrator to discuss mutually acceptable alternative arrangements.

Annexure 1 continued: Certification of documentation

Please ensure all accompanying due diligence is certified as follows

Original certified documents without a photo

- “I hereby certify this as a true copy of the original document, which I have seen.”

Original certified documents with a photo

“I hereby certify this to be a true copy of the original document, which I have seen, and the photograph bears a true likeness of the person named therein, who I have met.”

Certifier Information required on the document

- Full name and signature
- Date of certification
- Job title/position
- Capacity in which they are signing
- Name of regulatory body (if applicable i.e. ACCA, FSA, Law Society)
- Registration number issued by a regulatory body (if applicable)
- Contact information (telephone number and/or email address)

The following persons can be considered suitable to certify due diligence documentation of natural persons:

- a member of the judiciary, a senior civil servant, or a serving police or customs officer (stamp to include member's name, title and contact telephone number);
- an officer of an embassy, consulate or high commission of the country or territory of issue of documentary evidence of identity;
- a lawyer who is a member of a recognised professional body;
- a notary public who is a member of a recognised professional body;
- an accountant who is a member of a recognised professional body;
- an actuary 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 Jurisdiction Regulated Financial Services Business (see the definition in Appendix C to the Handbook) or of a Financial Services Business subject to group/parent policy where the Head Office is situated and regulated in a country or territory listed in Appendix C to the Handbook.

A certifier cannot be closely related to the person whose identity is being certified and the certifier cannot certify their own documents.

Annexure 2: Financial Information, United States Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards (“CRS”)

Pursuant to FATCA and CRS regulations (together “**Tax Regulations**”) which refer to laws, treaties and regulations created to enable automatic exchange of tax information and any regulations, guidance or intergovernmental agreements implementing or similar to the same; the Administrator is required to collect and process certain information about each investor's tax residency in order for it to comply with its FATCA and CRS obligations.

A number of jurisdictions have adopted similar Tax Regulations legislation designed to prevent tax evasion through the use of offshore accounts. The Company recognises each jurisdiction has its own rules for defining tax residence and each jurisdiction has provided information on how to determine whether an entity is tax resident in that jurisdiction on the OECD website (<http://www.oecd.org/tax/automatic-exchange>). For FATCA purposes, you can find more information on the U.S. IRS website (<http://www.irs.gov>).

An applicant 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 its domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. For additional information on tax residence please talk to your professional tax adviser.

Where an applicant holds tax residency outside of Guernsey the investor is legally obliged to disclose information in this application form. The Company may seek to obtain other financial information as it sees fit. The Administrator will identify and report all persons, as being subject to such legislation, to its director of income tax who may transfer this information to the government of another territory in accordance with the relevant agreement. In order to facilitate this process, certain declarations must be completed in full and signed by the following applicants:

- Any natural person or persons (this includes persons making an individual or joint application);
- Any and every beneficiary of a trust or beneficiaries of a trust who have benefitted from that trust;
- Any and every beneficial owner of a company (i.e. each/ and every shareholder);
- Any controller of a corporation or company.

It is the applicant's responsibility to determine in which jurisdiction/s they are a tax payer and the Administrator accepts no liability or responsibility for any incorrect declarations made. Should you be in any doubt over completing these sections including how you determine your tax status, you should contact your professional tax adviser.

Definitions relating to Section 4 are noted in Annexure 3 under definitions.

None of the information within this application form indicates or constitutes any form of legal or tax advice and there is no guarantee it can be accepted for completeness, editorial and technical mistakes, any questions contact your professional tax adviser.

This application form will remain valid unless there is a change in circumstances relating to the information provided by the applicant as to their tax residence or other mandatory field information that makes this form incorrect or incomplete.

For any changes, please notify the Administrator, without delay, and provide an updated declaration.

Annexure 3: **Definitions**

- **“Commercially Exposed Person”**

Commercially Exposed Persons (“CEPs”) will be senior executives of well-known commercial enterprises being a national or international business which can be regarded as a household name, either locally, or elsewhere.

- **“FATCA”**

FATCA stands for the Foreign Account Tax Compliance provisions, 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.

- **“High Risk Applicants”**

If you are a Politically Exposed Person, Commercially Exposed Person or from a High Risk Jurisdiction you are considered a high risk applicant

- **“High Risk Jurisdictions”**

Currently but subject to change;

<https://www.gfsc.gg/sites/default/files/uploads/Appendix%20%20-%20Countries%20that%20are%20presenting%20higher%20risks.pdf>

- **“Participating Jurisdiction”**

A “Participating Jurisdiction” means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS.

- **“Politically Exposed Person”**

The term “Politically Exposed Person” means any current and former senior political figure who holds or held a “Prominent function” (as defined below), or a natural person who is or has been entrusted with a prominent function* (as defined below) by an international organisation.

The PEP status also applies to their immediate family and close associates. (A senior political figure is a senior figure in the executive, legislative, administrative, military or judicial branches of a government (elected or non-elected), a senior figure of a major political party, or a senior executive of a government owned corporation. It includes any corporate entity,

partnership or trust relationship that has been established by, or for the benefit of, a senior political figure. Immediate family typically includes the person's parents, siblings, spouse, partner (where considered by the law of the country or territory in which the relevant public function is held as being equivalent to a spouse), children, in-laws, grandparents and grandchildren. Close associate typically includes a person who is widely and publicly known to maintain an unusually close relationship with the PEP and includes a person who is in a position to conduct substantial domestic and international financial transactions on the PEP's behalf

*Prominent Functions are: -

- i. Heads of state or heads of government
- ii. Senior politicians and other important officials of political parties
- iii. Senior government officials
- iv. Senior members of the judiciary
- v. Senior military officers
- vi. Senior executives of state-owned body corporates e.g. Directors, councillors and members of the board or equivalent positions

- **“Reportable Jurisdiction”**

Is a jurisdiction with which an obligation to provide financial account information is in place.

- **“Reportable Jurisdiction Person”**

An applicant that is a tax resident in a Reportable Jurisdiction(s) under the tax laws of such jurisdiction(s).

- **“Reportable Person”**

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

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a Related Entity of a corporation described in clause (a);
- (c) a Governmental Entity;
- (d) an International Organisation;
- (e) a Central Bank; or
- (f) 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”**

Generally, an applicant 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. For additional information on tax residence, please talk to your tax adviser or see the following link:
<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

- **“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 and used to identify the individual for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the following link:

<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

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”).

Important note: These are selected definitions provided to assist you with the completion of this application form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information or the U.S. IRS website for Foreign Account Tax Compliance provisions (“FATCA”).

Annexure 4: **Privacy Notice**

The Privacy Notice sets out how personal data is collected, processed and disclosed in connection with the Company and is issued by the Company as a data controller. The full notice can be viewed via the link below. The annual review of

the notice took place on the 12 October 2022t; <https://www.sannegroup.com/online-services/investec-basket-information/>

If you have any questions about our use of your personal data, our retention procedures or our security processes, please contact our Data Privacy Manager dpo@sannegroup.com.