

**Application form for Entities  
Omnium Investments PCC Limited**

*(a protected cell company limited by shares registered in the Island of Guernsey with registration number 53629 and authorised by the Guernsey Financial Services Commission as an open-ended collective investment scheme of Class B).*

Your application to invest in any of the cells of the Company should be made by completing this application form (“**Application Form**”) and posting or emailing the duly completed and signed form (together with original certified copies of your due diligence (refer to Annexure 1) to the administrator (“**the Administrator**”)) using the details below:

Original documents must follow in the post.

**Administrator**      Sanne Fund Services (Guernsey) Limited  
**Address**              Sarnia House, Le Truchot, St Peter Port, Guernsey, GY1 1GR  
**Telephone**            +44 (0) 1481 737600  
**Email**                  [info@pfs.gg](mailto:info@pfs.gg)

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

**Section 1:      Investment details**

The amount you wish to invest should be shown in Sterling (£). The minimum investment amount is £5,000 (five thousand pounds)



**Rocq Capital Balanced Fund**

or

**Rocq Capital Growth Fund**



Shares will not be allotted until the Administrator is satisfied that cleared funds have been received and satisfactory due diligence is held.

The Company reserves the right to reject any application in whole or in part, and in the event an application is refused, all 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 of money received by the Administrator does not correspond to a specific number of shares, the Company will issue shares, as applicable, calculated to four decimal places.

**Section 2:      Entity details**

Your investment will be registered exactly in accordance with the information provided below. You should clearly identify the structure and provide details on the directors/limited partners, shareholders, beneficial owner(s), authorised signatories and any other natural person who has ultimate control over the entity. Due diligence will be required on the information provided.

<b>ENTITY NAME</b>	
<b>TYPE OF ENTITY</b>	
<b>REGISTERED/ INCORPORATED IN</b>	
<b>REGISTRATION NUMBER</b>	
<b>DATE OF REGISTRATION</b>	

REGISTERED ADDRESS (INC. POST CODE)	
CORRESPONDENCE ADDRESS (INC. POST CODE)	
IS THE ENTITY REGULATED BY THE GUERNSEY FINANCIAL SERVICES COMMISSION? IF YOU ANSWERED "no", PROVIDE THE NAME OF FINANCIAL REGULATOR:	YES <input type="checkbox"/> NO <input type="checkbox"/>
REGULATION NUMBER	
NATURE OF BUSINESS/ STATEMENT OF ENTITY ACTIVITY	
SOURCE OF FUNDS (I.E. WHICH ACTIVITY GENERATED THE FUNDS FOR THIS INVESTMENT)	<i>The Administrator may request evidence of the information provided</i>
SOURCE OF WEALTH (I.E. WHICH ACTIVITY GENERATED YOUR TOTAL NET WORTH)	<i>The Administrator may request evidence of the information provided</i>
TAX RESIDENCE	<i>If the entity is tax resident in more than one country please refer to section 5</i>
TAX IDENTIFICATION NUMBER ("TIN")	<i>If a TIN is unavailable please refer to section 5</i>
<b>PRIMARY CONTACT PERSON OF THE ENTITY AUTHORISED SIGNATORY</b>	
TITLE	SURNAME
FORENAMES	
E-MAIL ADDRESS	
TELEPHONE DETAILS (Inc. area codes)	
MOBILE	
POSITION IN ENTITY	
<b>SECONDARY CONTACT PERONS OF THE ENTITY AUTHORISED SIGNATORY</b>	
TITLE	SURNAME
FORENAMES	
E-MAIL ADDRESS	
TELEPHONE DETAILS (Inc. area codes)	
MOBILE	
POSITION IN ENTITY	

Section 3: **Entity 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). The Administrator does not accept or make 3rd party payments. All redemption payments will be made to the bank account details supplied below in Sterling (£).

The Company and Administrator accept no responsibility for the following: any financial loss due to late or delayed payments, any bank charges which may be applied and deducted from the subscription or redemptions amounts, financial loss due to the transfer of funds to the nominated bank account of the Company, any guarantee that a bank will achieve the best foreign exchange conversion rate of any subscription or redemption 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 bank account prior to the cut off, 5pm Guernsey time at least two business days prior to the dealing day.

ENTITY BANK DETAILS (BANK DETAILS OF THE APPLICANT)	
ACCOUNT NAME	
NAME OF BANK	
BRANCH ADDRESS	
SORT CODE	

<b>SWIFT CODE</b>	
<b>ACCOUNT NUMBER</b>	
<b>IBAN</b>	
<b>CURRENCY</b>	Only if not Sterling (£)
<b>ADDITIONAL INFORMATION (if any)</b>	
<b>REMITTANCE DETAILS OF THE COMPANY</b>	
<b>NAME AND ADDRESS OF THE BANK</b>	Butterfield Bank (Guernsey) Limited P.O. Box 25, Regency Court, Glatigny Esplanade, St. Peter Port, Guernsey, GY1 3AP
<b>ACCOUNT NAME</b>	PFS re Omnium Investments PCC Ltd Client Account
<b>ACCOUNT NUMBER</b>	70199637
<b>SWIFT CODE</b>	BNTBGGSX
<b>SORT CODE</b>	60-83-98
<b>IBAN</b>	GB33BNTB60839870199637
<b>CURRENCY OF ACCOUNT</b>	Sterling (£)/ GBP
<b>REFERENCE</b>	Balanced Fund or Growth Fund (as applicable) and quote the name of the applicant

Section 4: **Financial adviser details**

If you are making this application through a financial advisor, please provide their details below.

<b>FINANCIAL ADVISOR NAME</b>	
<b>BROKERAGE NAME</b>	
<b>POSTAL ADDRESS (Inc POST CODE)</b>	
<b>COUNTRY</b>	
<b>EMAIL ADDRESS</b>	
<b>TELEPHONE NUMBER</b> (including area codes)	
<b>MOBILE NUMBER</b> (including area codes)	
<b>FINANCIAL ADVISOR CODE</b>	
<b>% of TRAIL TO BE PAID</b>	
<b>% of INITIAL COMMISSION TO BE PAID</b>	

**Section 5: Foreign account tax compliance act ("FATCA")**

Tax regulations require the Company to collect information about each applicant's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on you with relevant tax authorities. If you have any questions about your tax residency you should contact your tax advisor. By signing this application form the applicant confirms that they are liable to be assessed for tax as stated herein, either set out in Section 5 or in Section 6, as applicable. Section 5 should be completed if the entity is a tax-payer in more than one country and/or if a TIN is not available. Should any information provided change in the future, please ensure you advise us of the changes promptly.

If no TIN is available please provide an appropriate reason, using A, B or C and complete the form below.

- Reason A The country where the investor is liable to pay tax does not issue TINs to its residents; or
- Reason B The investor 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); or
- 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 additional tax residence (if not stated in Section 2)	TIN of additional tax residence (if not stated in Section 2)	Reason for not having a TIN		
			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"/>

If you are unable to obtain a TIN and you selected/ticked Reason B above. You must supply an explanation why you do not have a TIN

1.	<input type="text"/>
2.	<input type="text"/>

**Section 6: Common Reporting Standards ("CRS")**

This section must be read by all applicants. If you have any questions about your tax status you should contact your tax advisor. The Company will seek to obtain any financial information (as it sees fit) to identify and report all persons, being subject to relevant legislation, to its director of income tax who may transfer this information to the government of another territory in accordance with the relevant agreement. It is therefore important that certain declarations are completed in full. This disclosure of information also applies to applicants who hold a tax residency outside of Guernsey, as all applicants are legally obliged to disclose information in this application form.

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.

The disclosure of information covers any Related Entity or Controlling Person to the entity, which the Company will need to report on for CRS purposes. Related entities or Controlling Persons will cover:

- (a) Any natural person or persons);
- (b) Any and every beneficiary of a trust or beneficiaries of a trust who have benefitted from that trust;
- (c) Any and every beneficial owner of a company (i.e. each and every shareholder);
- (d) Any controller of a corporation or company.

A Related Entity includes any entity that controls the other or where there are two entities under common control. Control means direct or indirect ownership of more than 25% voting rights. A controlling person is a natural person who exercises control over an entity, such as directors, authorised signatories, officers, beneficial owners/shareholders of over 25%.

## Section 6a:

## Identification of Related Entity/Entities and/or Controlling Person(s) to the entity

Please copy and complete this section for each Related Entity and/or Controlling Person(s). Tax Regulations require us to collect information about tax residency. In certain circumstances we may be obliged to share information on your account with HMRC.

If you have any questions about your tax residency, please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

RELATED ENTITY		CONTROLLING PERSON	
RELATIONSHIP TO THE ELIGIBLE INVESTOR: (I.E. AS AN ENTITY)		RELATIONSHIP TO THE ENTITY (I.E. AUTHORISED SIGNATORY, BENEFICIARY, DIRECTOR OR OTHER CONTROLLING PERSON)	
ENTITY NAME		FULL NAME, FORMER NAME(S), MARITAL STATUS	
JURISDICTION, REGULATED STATUS AND NUMBER		NATIONALITY, DATE AND PLACE OF BIRTH	
REGISTERED ADDRESS (PLEASE INCLUDE POSTCODE). NOTE: A PO BOX ADDRESS IS INSUFFICIENT		CURRENT RESIDENTIAL ADDRESS (INC. POSTCODE) NOTE: A PO BOX ADDRESS IS INSUFFICIENT	
TELEPHONE NUMBER		TELEPHONE NUMBER	
INCORPORATION OR REGISTRATION NUMBER		PASSPORT NUMBER	
PERCENTAGE HELD		PERCENTAGE OF APPLICANT HELD	
TYPE OF BUSINESS		OCCUPATION AND NAME OF EMPLOYER	
SOURCE OF WEALTH (IF YOU HOLD OVER 25% OF THE ELIGIBLE INVESTOR)		SOURCE OF WEALTH	
ARE YOU CONSIDERED TO BE, OR ARE YOU ASSOCIATED WITH A PEP OR CEP?	YES <input type="checkbox"/> NO <input type="checkbox"/>	ARE YOU CONSIDERED TO BE, OR ARE YOU ASSOCIATED WITH A PEP?	YES <input type="checkbox"/> NO <input type="checkbox"/>
POLITICAL POSITION OR COMMERCIAL POSITION (IF ANSWERED YES TO THE ABOVE QUESTION)		POLITICAL POSITION (IF ANSWERED YES TO THE ABOVE QUESTION)	
TAX RESIDENCY		TAX RESIDENCY	
TAX NUMBER		TAX NUMBER	
TIN	If there is no TIN available refer and complete Section 5: FATCA declaration	NATIONAL INSURANCE NUMBER (IF APPLICABLE)	
AUTHORISED SIGNATORY		AUTHORISED SIGNATORY	



You can also find out more about whether a country is a Reportable Jurisdiction on the OECD automatic exchange of information portal:  
<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

If the Controlling Person is tax resident in more than two countries please use a separate sheet. If a TIN is unavailable please provide the appropriate reason A, Bor C. Should the information change then please advise as soon as possible.

- Reason A** The country where the investor is liable to pay tax does not issue TINs to its residents
- Reason B** The investor 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 authorities of the country of tax residence entered below do not require the TIN to be disclosed)**

	Country of tax residence	TIN	Reason for no TIN		
			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"/>

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

- 1.
- 2.

**Section 7: Terms and Conditions**

**Words and phrases:** Words, phrases and expressions used in this application form shall have the same meaning ascribed to them as in the articles of incorporation, scheme particulars and supplemental scheme particulars (available in electronic format), unless expressly stated otherwise.

**Incomplete application forms:** This 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.

**Transfer of funds:** 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 into the nominated account.

**Refusal of applications:** The Company and the Administrator reserve the right to refuse applications for investment in this subscription at their discretion. All application forms and client due diligence must be received in original, signed form in order to be accepted.

**Minimum subscription amount:** The minimum subscription amount is noted in this application form or in the scheme particulars or supplemental scheme particulars.

**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 8: Declaration

We, as named in this application form, hereby confirm that by signing this application form:

1. we are authorised to sign for the entity, to which this form relates and confirm that we are over 18 years of age (where applicable).
2. we declare that all statements made in this declaration are, to the best of my/our knowledge and belief, correct and complete.
3. 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 form, whether in my/our handwriting or not, is true and complete.
4. we agree that all the statements in this application form and the documents provided are true and correct, that any mis-statement or omission made by myself/ourselves therein may lead to an application form being rejected 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.
5. we agree that no statement, whether made by ourselves or by the person handling this application form or by any other person, shall be binding upon the Company and/or the Administrator unless it has been submitted to the Company and the Administrator in writing as part of the application form.
6. we agree that should this application form 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.
7. we have read and understood the Company's Scheme Particulars and Supplemental Scheme Particulars (and latest financial statements if applicable), together with the definitions and we have understood all the terms and conditions outlined in the documents (including but not limited to the applicant undertakings set out therein), and agree to be bound thereby and warrant the terms thereof.
8. we acknowledge that the financial statements and notices of the Company will be sent electronically and will be sent to the email address provided in this application form.
9. 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.
10. we are investors who can afford to take a higher degree of risk, which may include the risk of the loss of our entire investment, and who have extensive knowledge and experience in financial and business matters and are capable of evaluating the merits and risks associated with an investment in the Company and accept the risks involved in investing in the Company.
11. 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.
12. we are aware that taxation consequences might be relevant to the acquiring, holding or redeeming shares and that we will take appropriate tax advice in this regard and ensure that we comply with all laws applicable to our country of residence. We agree that the Company cannot be held responsible for any tax liability that arises as a result of investing in the Company.
13. we understand the information supplied by us and contained in this form, may be used, provided or shared by the Administrator or Company to the tax authorities of Guernsey and pursuant to intergovernmental agreements which allow exchange of financial account information may be exchanged with tax authorities in other country/countries in which the entity, related entity or controlling person may be tax resident.
14. we have provided information regarding any other person (such as a controlling person or other reportable person to which this form relates) that we will, within 30 days of signing this form notify those persons that we have provided such information on and that such information may be provided to the tax authorities in Guernsey or exchanged with tax authorities of another country/countries in which the person may be tax resident as per item 2.
15. we undertake to advise the Administrator within 30 days of any change in circumstances which affects the tax residency status of the entity detailed on this form, or which causes the information contained herein to become incorrect, and we will provide the Administrator with a suitably updated self-certification and declaration within 90 days of such change in circumstances.
16. we have carefully read and understood the Privacy Notice of the Administrator and Company and all the terms and conditions outlined and agree to be bound thereby and warrant the terms thereof.
17. we hereby agree and acknowledge that, for data protection purposes 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.
18. We have read and understood this declaration and understand its implications and we acknowledge we have received, understood (and if required), taken guidance and accept that the investment is suitable to their specific investment objectives and needs.

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Applicant Signature

Date

Place

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2nd Applicant Signature (if required)

Date

Place

**Important: This application form needs to be supported by relevant due diligence, as detailed in the below Annexure 1.**

**When completing and returning this application form for investment, please do not return any of the Annexures, they are for your use only.**



**Annexure 1: Due diligence document requirements for an entity**

All applicants must provide due diligence documents. Please refer to relevant section/s below to ensure the relevant due diligence documentation accompanies your application form.

All applicants with a complex structure should provide a structure chart, and the following due diligence:

<b>A. For a Financial Services Business domiciled within an Appendix C Jurisdiction, applying on behalf of its own company, the Administrator will require the following:</b>	
A completed application form	
A completed FATCA self certification form in Section 5	
Evidence of regulation	
An original certified copy of the authorised signatory list (see Annexure 2 for certification requirements)	
Where there are Related Entities in relation to the entity or a Controlling Person, we may require due diligence on them, unless you have completed Section 6 with a GIIN for the Related Entity and then there is no requirement for further due diligence.	

or

<b>B. For a regulated Financial Services Business (excluding a Fiduciary business) domiciled within an Appendix C Jurisdiction, applying on behalf of their underlying clients (ie a Nominee), the Administrator will require the following:</b>	
A completed application form	
A completed FATCA self certification form in Section 5	
Evidence of regulation	
An original certified copy of the authorised signatory list (see Annexure 2 for certification requirements)	
An original completed professional intermediary letter (please request this from the Administrator)	
Where there are Related Entities in relation to the entity or a Controlling Person, we may require due diligence on them, unless you have completed Section 6 with a GIIN for the Related Entity and then there is no requirement for further due diligence.	

or

<b>C. For a legal body quoted on a regulated market the Administrator will require the following:</b>	
A completed application form	
A completed FATCA self certification form in Section 5	
Evidence that the body is quoted on a recognised exchange	
An original certified copy of the authorised signatory list (see Annexure 2 for certification requirements) If the signatories are acting in the course of their employment with the quoted legal body it is not necessary to provide verification documents for each signatory	
Where there are Related Entities in relation to the entity or a Controlling Person, we may require due diligence on them, unless you have completed Section 6 with a GIIN for the Related Entity and then there is no requirement for further due diligence.	

or

<b>D. If a regulated or unregulated Financial Services Business or Nominee, domiciled outside an Appendix C Jurisdiction OR a non-Financial Services Business in any jurisdiction, the Administrator will require the following:</b>	
A completed application form	
A completed FATCA entity self certification form in Appendix 5	
Original certified structure chart (see Annexure 2 for certification requirements)	
Original certified copy of the certificate of incorporation/registration (and any name changes) (see Annexure 2 for certification requirements)	
Original certified copy of the directors' register (see Annexure 2 for certification requirements)	
Original certified copy of the share register (see Annexure 2 for certification requirements)	
Original certified copy of the authorised signature list (see Annexure 2 for certification requirements)	
<b>For each director, authorised signatory and individual shareholder with a 25% or greater holding</b> Complete Section 5 and Section 6 plus supply verification of address being: a certified copy of a recent utility account for a fixed service (water, electricity, or gas), or a bank/credit card statement, or a tax invoice or similar as proof of residential address of each director, authorised signatory or shareholder, no more than 3 months old and reflecting the residential address as displayed on the application form. PO Box numbers and mobile phone bills are not acceptable. (see Annexure 2 for certification requirements)	
<b>For each director and authorised signatory and individual shareholder with a 25% or greater holding</b> Complete Section 5 and Section 6 plus supply verification of identity being: a certified copy of a valid national ID card or passport of each director and authorised signatory with clear photograph (please ensure copies of IDs are signed) and if the person is wearing glasses, please ensure the eyes are visible. If dual nationality is held, please provide verification of identity for each nationality. (see Annexure 2 for certification requirements)	

<b>Note.</b> If the shareholders are corporate, full company documents will be required as above. (see Annexure 2 for certification requirements)	
<b>For each director and authorised signatory and individual shareholder with a 25% or greater holding and any other Related Entities or Controlling Persons</b> Complete Section 5 and Section 6 and if they differ from the above we may require due diligence on them, unless you have completed Section 6 with a GIIN for the Related Entity and then there is no requirement for further due diligence or	

<b>E. If a regulated or unregulated Partnership</b>	
A completed application form	
A completed FATCA entity self certification form in Section 5	
An original certified copy of the partnership deed	
<b>For each partner</b> Complete Section 5 and Section 6 plus supply verification of address being: a certified copy of a recent utility account for a fixed service (water, electricity, or gas), or a bank/credit card statement, or a tax invoice or similar as proof of residential address of each director, authorised signatory or shareholder, no more than 3 months old and reflecting the residential address as displayed on the application form. PO Box numbers and mobile phone bills are not acceptable. (see Annexure 2 for certification requirements)	
<b>For each partner</b> Complete Section 5 and Section 6 plus supply verification of identity being: a certified copy of a valid national ID card or passport of each director and authorised signatory with clear photograph (please ensure copies of IDs are signed) and if the person is wearing glasses, please ensure the eyes are visible. If dual nationality is held, please provide verification of identity for each nationality. (see Annexure 2 for certification requirements)	
<b>Note.</b> If the partners are corporate, full company documents will be required as above. (see Annexure 2 for certification requirements)	
<b>For the general partner</b> Full company documents	
<b>For the manager</b> Full company documents	
<b>For each director and authorised signatory and individual shareholder with a 25% or greater holding and any other Related Entities or Controlling Persons</b> Complete Section 5 and Section 6 and if they differ from the above we may require due diligence on them, unless you have completed Section 6 with a GIIN for the Related Entity and then there is no requirement for further due diligence	

**Important:**

1. The Administrator can provide due diligence checklists for individuals, corporate trustees, individuals as trustees, Appendix C regulated corporate trustee (domiciled outside of Guernsey) and unregulated corporate trustee, please ask them to supply as required. This will only be needed if you have a complex entity structure and need to report on Related Entities and Controlling Persons.
2. All application forms 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 any 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 2: **Certification requirements**

**Original certified documents without a photo**

*"I hereby certify this as a true copy of the original document, which I have seen."*

*[insert signature] Signed by [insert certifier's name] [insert professional qualification or other designation and identification number, professional body of which the certifier is a member, where applicable and contact details i.e. telephone number and email address]. Also insert the date of certification.*

**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."*

*[insert signature] Signed by [insert certifier's name] [insert professional qualification or other designation and identification number, professional body of which the certifier is a member, where applicable and contact details i.e. telephone number and email address] [insert date of certification] In the presence of [insert subject's name where the document contains a photograph]*

**The following persons can be considered suitable to certify due diligence documentation of natural persons and entity documents:**

- (a) 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);
- (b) an officer of an embassy, consulate or high commission of the country or territory of issue of documentary evidence of identity;
- (c) a lawyer who is a member of a recognised professional body;
- (d) a notary public who is a member of a recognised professional body;
- (e) an accountant who is a member of a recognised professional body;
- (f) an actuary who is a member of a recognised professional body;
- (g) a member of the Institute of Chartered Secretaries and Administrators; or
- (h) 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.

**Important:**

A suitable certifier must certify that he has seen original documentation verifying identity and residential address. Where a document contains a photograph, the certifier must certify (in writing) that the photograph is a true likeness of that individual whom they have met. The certifier must also sign and date the copy identification data and provide adequate information so that contact can be made with the certifier in the event of a query.

## Annexure 3: Definitions

### “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

### “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.

### “High Risk Jurisdictions”

Are subject to change please refer to the Administrator for assistance with current list.

### “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.

### “Appendix C Countries”

Are subject to change but are currently:

Australia, Austria, Belgium, Bermuda, Bulgaria, Canada, Cyprus (Southern), Denmark, Estonia, Finland, France, Germany, Gibraltar, Greece, Guernsey Hong Kong, Hungary, Ireland, Isle of Man, Italy, Japan, Jersey, Latvia, Liechtenstein, Lithuania, Luxembourg, Madeira, Netherlands, New Zealand, Northern Ireland, Norway, Portugal, Singapore, Slovenia, South Africa, Spain, Sweden, Switzerland, United Kingdom, USA.

## Annexure 4: Financial Information, United States Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards (“CRS”)

This section must be read by all applicants.

The definitions for FATCA and CRS can be found on the website [www.rocqcapital.com](http://www.rocqcapital.com)

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 are adopting similar Tax Regulations legislation designed to prevent tax evasion through the use of offshore accounts. The Fund 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 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 its domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. 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 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:

- (a) Any and every beneficial owner of a company with a 25% or greater holding; and
- (b) Any controller of a corporation or company (i.e. directors and authorised signatories).

### Completing Section 6

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 please seek appropriate advice from competent counsel.

Section 6a and 6b can be used for details on the entity itself and need to be completed by the applicant and also if the applicant has a Related Entity or Controlling Person/s.

It is the applicant's responsibility to determine in which jurisdiction/s he/she is a tax payer and the Administrator accepts no liability or responsibility for any incorrect declarations made. Should you be in any doubt over completing Section 6, including how you determine your tax status, you should contact your professional tax adviser.

Definitions relating to Section 5 and 6 are noted on the website [www.roqccapital.com](http://www.roqccapital.com)

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.

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Annexure 5: **Privacy Notice**

The Privacy Notice sets out how personal data is collected, processed and disclosed in connection with the Fund and is issued by the Fund as a data controller. The full notice dated May 2020 can be viewed on <https://www.sannegroup.com/site-tools/cookie-privacy-policy/>

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 at [dpo@sannegroup.com](mailto:dpo@sannegroup.com).

Sanne Fund Services (Guernsey) Limited  
Sarnia House  
Le Truchot  
St Peter Port  
Guernsey  
GY1 1GR

Date:

Dear Sanne Fund Services (Guernsey) Limited

We understand that in accordance with Guernsey legislation, in order to treat us as the client principal, you require us to give the following confirmations to yourselves:

We confirm that we are:

A Regulated Financial Services Business operating from an Appendix C jurisdiction other than a Trust or corporate services provider; or

A person licensed under the Regulation of Fiduciaries, Administration Businesses and Company Directors, etc. (Bailiwick of Guernsey) Law, 2000; or

A wholly owned subsidiary of ..... an Appendix C regulated financial services business (other than a business regulated for the provision of trust and corporate services) offering nominee or pensioner trustee services to our regulated parent company for no charge;

We further confirm that:

- a) We, the intermediary have appropriate Customer Due Diligence ("CDD") procedures in place to differentiate between the CDD requirements for high and low risk relationships;
- b) We conduct all necessary CDD procedure in respect of our customers, including enhanced CDD, measures for Politically Exposed Persons and other high-risk relationships;
- c) The account will only be operated by the intermediary and that they will have ultimate and effective control over the account.
- d) We confirm that the personal data provided by us to Praxis Fund Services Limited in respect of the Investor pursuant to this letter has been obtained lawfully and in accordance with the Data Protection (Bailiwick of Guernsey) Law, 2017.
- e) We confirm that the purpose and nature of the business relationship between us, yourselves, and our client(s) is the investment in investment trusts or companies.
- f) We confirm that in respect of each person for whom personal data has been provided to Praxis Fund Services Limited in respect of the Investor, that person has carefully read the privacy notice at Schedule A to this Letter with respect to Praxis Fund Services Limited's collection and maintenance of personal data regarding such persons.