

Application Form for Corporate and Trust Clients

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)



Rocq Capital Balanced Fund



Rocq Capital Growth Fund

Instructions

All Applicants should complete this Application Form in full and return it to the Administrator by email, post or fax to the following address:

E-Mail: investorservices@jtcgroup.com

Fax Number: +44 1481 734546

Address: JTC Fund Solutions (Guernsey) Limited
Ground Floor, Dorey Court, Admiral Park
St Peter Port, Guernsey
GY1 2HT

Dealing Days are the second Business Day of each calendar week. Completed applications must be received by 5p.m. Guernsey time on the Business Day at least three Business Days prior to Dealing Day.

If this application form is provided by email or fax, the originally signed application form and supporting documentation must also be sent to the Administrator by post.

Section A: Registration and Contact Details

You (the "Investor") must complete this section.

Any delay in providing documentation may result in delayed processing of the application and/or delayed payment of any future distribution or redemption proceeds.

Depending on its risk assessment of an Investor, the Administrator reserves the right to request additional documentation as may be required from time to time. Enhanced Due Diligence is required on Investors who are Politically Exposed Persons (PEPs) or resident in what is deemed a High Risk jurisdiction in accordance with guidelines issued by the Guernsey Financial Services Commission.

For further information, please contact the Investor Services Department on +44 (0) 1481 702400.

Registered Corporate Name	
Regulatory Reference Number	
Account Designation (Where applicable)	
Registered Address	
Correspondence Address (if different)	
Registered / Incorporated in	
Registration / Incorporation Number	
Contact Name	
Telephone Number	
Email Address	
Full Name/s of Ultimate Beneficial Owner/s	
Residential Address	
Date and place of birth	
Nationality	

Section B: Financial Advisor Details (if applicable)

If investing directly, please ignore this section.

If you are making this application through a financial advisor, we require their details. The financial adviser must complete this section or this application will not be accepted.

Financial Adviser Name			
Brokerage Name			
Postal Address			
	Postal Code		
Country			
Email Address			
Telephone Number (incl. area code)			
Financial Advisor Code			
% of Trail to be paid			
% of Initial Commission to be paid			

Section C: Which fund(s) do you wish to invest in?



Rocq Capital Balanced Fund

Subscription Amount

£



Rocq Capital Growth Fund*

Subscription Amount

£

Please note that the minimum initial investment is £5,000 excluding any deducted bank charges.

*Class A Shares only

Section D: How to pay?

There are two methods by which you can send funds to the Administrator.

1. By Bank Transfer (CHAPS, BACS & Faster Payments)

Our bank details are:

Bank:	Butterfield Bank (Guernsey) Limited
Swift code:	BNTBGGXXXX
Sort code:	60-83-98
Account number:	70023571
Account:	JTC Fund Solutions (Guernsey) Limited Client Account re Omnium
Reference:	Name of Fund and Registered Name of Investor

2. By Cheque

We prefer funds to be sent to us by bank transfer or online banking as there can be delays in processing and clearing cheques, however if you are paying by cheque, please make it payable to:

JTC CLIENT ACC-OM IVST PCC LTD

BANK DETAILS

We require your bank details so that we can remit any redemptions in the future.

Bank
Branch address
Account name
Account number
Sort code

Section E: Due Diligence

Request for Information

The Company reserves the right to request from any investor or potential investor such information as the Company deems necessary to comply with The Foreign Account Tax Compliance Act (FATCA), Crown Dependencies and Overseas Territories International Tax Compliance Regulations (CDOT), Common Reporting Standards (CRS) and any similar laws from time to time in force, or any obligation arising under the implementation of any applicable intergovernmental agreement, including the US-Guernsey IGA and the UK-Guernsey IGA or other similar agreements, relating to automatic exchange of information with any relevant competent authority.

Anti-money laundering requirements

The Administrator complies with the anti-money laundering regime of Guernsey and maintains procedures in compliance with applicable anti-money laundering and counter terrorism financing legislation and regulations, being namely The Criminal Justice (Proceeds of Crime) (Bailiwick of Guernsey) Law, 1999, as amended, its regulations and the GFSC's Handbook for Financial Services Businesses on Countering Financial Crime and Terrorist Financing, each as amended or revised from time to time (the "Anti-Money Laundering Regulations").

Appendix C jurisdictions

If you are applying from an Appendix C jurisdiction the CDD requirements that are adhered to in that jurisdiction are recognised by the GFSC. Please clarify from the list below which jurisdiction you are located in. If none of these apply, then additional CDD evidence will be required.

Austria		France		Japan		Singapore	
Australia		Germany		Jersey		Slovenia	
Belgium		Greece		Latvia		South Africa	
Bermuda		Gibraltar		Liechtenstein		Spain	
Bulgaria		Guernsey		Lithuania		Sweden	
Canada		Hong Kong		Luxembourg		Switzerland	
Cayman Islands		Hungary		Malta		UK	
Cyprus		Iceland		Netherlands		USA	
Denmark		Ireland		New Zealand			
Estonia		Isle of Man		Norway			
Finland		Italy		Portugal			

Investor Categories

Please refer to the Investor categories detailed below and complete the relevant section in relation to your entity classification.

E1: Regulated Financial Services Business

E2: Unregulated Private Corporate Structures and Financial Services Businesses

E3: Private Trusts Partnerships, Foundations, Charities, Clubs and Societies

E4: Pension Schemes and Retirement Annuity Trust Schemes (RATS)

E1: Regulated Financial Services Business

If you are a Regulated Financial Services Business operating from one of the Appendix C jurisdictions above, complete either Section 1 or 2 only, depending on whether you are acting on behalf of a third party or not. Please also include a certified copy of your Authorised Signatory List to include the appropriate mandate to operate the account.

Once completed, please go to Section F and G.

Section 1

For the Regulated Financial Services Business acting solely as principal and not for the benefit of a third party:

Name of Account:

.....

Designation:

.....

Name of Regulatory Authority:

.....

Registration / License number:

.....

Section 2

Or if a Nominee Investor/Custodian/Regulated Financial Services Business investing on behalf of a third party and acting as an intermediary, the below declaration must be completed in full:

Name of Account:

.....

Designation(s):

.....

Name of Intermediary:

.....

Name of Regulatory Authority:

.....

We undertake to verify the identity of all third parties on whose behalf we purchase shares/units in funds administered by JTC Fund Solutions (Guernsey) Limited.

We further undertake to retain for five years from the date the subscriber redeems from the fund, copies of any documentation obtained by us in so verifying and if/when requested to do so by the Fund and/or Administrator, provide copies of said documentation. Further in accordance with the AML procedures designed to combat terrorist financing, we review the names of all investors against internationally recognised sanctions lists including those of the EU, UN and Office for Foreign Affairs Control. In the event that we discover that one of the Fund's investors is on an internationally recognized sanctions list, we will notify the relevant authorities. Should any of the representations contained in this paragraph change, we will endeavor to advise JTC Fund Solutions (Guernsey) Limited as soon as possible.

We confirm that we are:

- A Regulated Financial Services Business operating from an Appendix C jurisdiction; or
- A person licensed under the Regulation of Fiduciaries, Administration Businesses and Company Directors, etc. (Bailiwick of Guernsey) Law, 2000.

We further confirm that:

- We conduct appropriate and effective CDD procedures in respect of all our customers, including enhanced CDD measures for Politically Exposed Persons and other high risk relationships;
- The purpose and intended nature of our business relationship with JTC Fund Solutions (Guernsey) Limited is to invest in international funds; and
- The account will only be operated by the intermediary and that they will have ultimate and effective control over the account.
- And that the investment and any income will only be paid/returned to the bank account from which they originated

E2: Unregulated Private Corporate Structures and Financial Services Businesses

If you are a Regulated Financial Services Business, operating from outside of an Appendix C jurisdiction, either for your own account or an Underlying Beneficial Owner (UBO), full due diligence is required for the UBO of the monies invested.

For Private Companies registered in an Appendix C jurisdiction and Financial Services Businesses from outside of an Appendix C jurisdiction investing for their own account, please provide the following or equivalent documents.

- An original certified copy of a certificate of due formation and organisation and continued authorisation to conduct business in the jurisdiction of its organisation (e.g. Certificate of incorporation/registration)
- An original certified copy of the Memorandum and Articles of Association or equivalent constitutional document.
- An original certified copy or original of the appropriate authorised mandate for the directors to open/operate the account.
- An original certified copy or original Authorised Signatory List.
- Original or an original certified copy of Register of Members/shareholders (beneficial owners) listing the name of each person who directly, or indirectly, is the beneficial owner of more than 10% of any voting or non-voting class of equity interests of the prospective investor or exercises control over the management of the company.
- Original or an original certified copy of Register of Directors.
- Source of Wealth e.g. Income, Inheritance, Sale of existing assets – Type of asset sold, Savings, Other (please specify)

- Confirmation that the Company does not issue bearer shares

Yes No

Where bearer shares are issued, please provide details of the current beneficial owner and safekeeping arrangements.

Further due diligence may be requested on the beneficial owners or those persons providing safekeeping arrangements for the bearer shares.

Do any of the previous Principals hold a position of Public Office and/or perform a role with any political exposure?

Yes No

If yes, please give details:

.....

For directors, beneficial owners, underlying principals, authorised signatories or equivalent with ultimate effective control over the capital and assets of the legal body:

- an original certified copy of a valid government issued form of picture identification (valid for a further six months) (e.g. passport) (Identification documents must include the following details: Legal name, date and place of birth, nationality, an official personal identification number or other unique identifier)
- Proof of address: one form of proof of current residential address dated within the last 3 months (e.g. current utility bill, bank statement etc.). Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

For all other Private Companies registered in a Non-Appendix C jurisdiction the below is required in addition to all items requested above:

- For all beneficial owners as described above: An original certified copy of a government issued form of picture identification (e.g. passport)

- And two forms of proof of current address dated within the last three months (e.g. current utility bill, bank statement etc.)
- Or identification requirements per legal form if not individuals
- Latest audited financial statements.

E3: Private Trusts, Partnerships, Foundations, Charities, Clubs and Societies

Private Trusts

If the Trustee is a Regulated Financial Services Business operating from one of the Appendix C jurisdictions, please provide the following for the Trustee and all other documents as required for the Trust.

Name of Trust Company:

.....

Country of jurisdiction:

.....

Name of regulator:

.....

Authorisation number:

.....

Please provide:

- An original certified copy or original Authorised Signatory List
- An original certified copy of the Trust Deed or equivalent constitutional document.
- List of beneficial owners / controllers if not already provided in the Trust Deed.
- If the name of the Beneficiary is not known please provide details of the class of potential beneficial owners.
- If a potential beneficial owner has not had their beneficial interest disclosed to them please confirm.
- Confirmation of the identity of the Settlor if not already provided in the Trust Deed.
- Confirmation of the appointment and identity of the Protector if not already provided in the Trust Deed.
- An original certified copy or original of the appropriate authorised mandate for the Trustees to open/operate the account.

Do any of the previous Principals hold a position of Public Office and/or perform a role with any political exposure?

Yes No

If yes, please give details:

.....

For directors, beneficial owners, underlying principals, authorised signatories or equivalent with ultimate effective control over the capital and assets of the legal body:

- an original certified copy of a valid government issued form of picture identification (valid for a further six months) (e.g. passport) (Identification documents must include the following details: Legal name, date and place of birth, nationality, an official personal identification number or other unique identifier)
- Proof of address: one form of proof of current residential address dated within the last three months (e.g. current utility bill, bank statement etc.). Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

Where the Trustee is a Natural Person and not a Regulated Financial Services Business please provide

- an original certified copy of a valid government issued form of picture identification (valid for a further six months) (e.g. passport)
- one form of proof of current residential address dated within the last six months (e.g. current utility bill, bank statement etc.).

For all **Private Trusts** from Non-Appendix C Jurisdictions, please also provide the below in addition to all items requested above:

- An original certified copy of a certificate of due formation and organization and continued authorisation to conduct business in the jurisdiction of its organisation (e.g. Certificate of incorporation/registration)
- An original certified copy of the Memorandum and Articles of Association or equivalent constitutional document.
- Original or an original certified copy of Register of Members/shareholders (beneficial owners) listing the name of each person who directly, or indirectly, is the beneficial owner of more than 10% of any voting or non-voting class of equity interests of the prospective investor or exercises control over the management of the company.
- Original or an original certified copy of Register of Directors.
- Settlor source of Wealth e.g. Income, Inheritance, Sale of existing assets – Type of asset sold, Savings, Other (please specify)

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For **Partnerships** in an Appendix C jurisdiction:

- An original certified copy of the Partnership agreement or appropriate excerpts.
- An original certified copy or original of the appropriate authorised mandate for the General Partner/s to open/operate the account.
- An original certified copy or original Authorised Signatory List.
- For any beneficial owner who is an individual or entity who ultimately is entitled to or controls 10% or more of the capital or profits of the partnership, or otherwise exercises control over management of the partnership, an original certified copy of a valid government issued form of picture identification (e.g. passport) (Identification documents must include the following details: Legal name, date and place of birth, nationality, an official personal identification number or other unique identifier)
- Proof of address: one form of proof of current residential address dated within the last three months (e.g. current utility bill, bank statement etc.). Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

For all other **Partnerships** (require the below in addition to all items requested above):

- For all beneficial owner(s) who are an individual or entity who ultimately is entitled to or controls the capital or profits of the partnership, or otherwise exercises control over management of the partnership, two original certified copies of a valid government issued form of picture identification
- and two forms of proof of current residential address as detailed above; or if not an individual, identification documentation per legal form.

For **Registered Charities / Foundations**:

- An original certified copy of the relevant Revenue/Tax Authority approval or proof of registration status from the relevant Charity Commission or equivalent.
- Name of Foundation, official identity number, date and country of registration.
- An original certified copy or original of the appropriate authorised mandate which states who has authorisation to transact on the account. The mandate must be signed by the member/person/authorised representative.
- An original certified copy or original Authorised Signatory List.
- For Trustees, Directors, Governors, Board Members, Authorised Signatories, Founders, Councillors, Guardian, Beneficial Owner(s) including any default recipient and persons with the authority to control the investment: an original certified copy of a valid government issued form of picture identification (e.g. passport) and one form of proof of current residential address dated within the last three months (e.g. current utility bill, bank statement etc.). Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

For **Clubs and Societies**

- A letter detailing the legal status and purpose of the Club/Society including names of all Officers.
- An original certified copy or original of the appropriate authorised mandate detailing those empowered to open/operate the account.
- An original certified copy or original Authorised Signatory List.
- For the Officers and Authorised Signatories: an original certified copy of a valid government issued form of picture identification (e.g. passport) and one form of proof of current residential address dated within the last three months (e.g. current utility bill, bank statement etc.). Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

E4: Pension Schemes and Retirement Annuity Trust Schemes

For Pension Schemes providing retirement benefits to employees in an Appendix C jurisdiction:

- An original certified copy of the relevant Revenue/Tax Authority approval certificate.
- An original certified copy or original of the appropriate authorised mandate for the directors to open/operate the account, e.g. certified copy of evidence that the person representing the investor is empowered (Trust Deed, charter or constitutional document).
- An original certified copy of the relevant Constitution, Formation document or Trust Deed
- Names of Trustees, Directors, Governors or equivalent.
- An original certified copy or original Authorised Signatory List.
- Where persons acting as Trustee, Authorised Signatory, Director or Governor are not supervised by the local financial services regulator: an original certified copy of a valid government issued form of picture identification and one form of proof of current residential address as detailed above

For all other Pension Schemes (require the below in addition to all items requested above)

- For the Administrator/Trustee/Controller(s): an original certified copy of a valid government issued form of picture identification and two forms of proof of current residential address as detailed above
- Or identification per legal form if not an individual

Certified true copies and translation of documents

Where documents are not provided in original form, certified true copies can be accepted if certified in accordance with the below guidance and by a suitable certifier.

Images contained in photographic ID should preferably be in colour and always of sufficient quality so as to easily identify the individual named.

Certified copies of copies are not normally accepted.

Where documents are not in English a certified translation must also be provided which is sufficient to ensure the document is clearly understood.

Suitable certifiers

An employee of a regulated financial services business that is located in an Appendix C country (i.e. bank or broker-dealer), an auditor, external accountant or tax adviser, a relevant independent legal professional, a Notary Public, police officer, or senior civil servant.

When certifying photographic identification and residential address the below wording must be used or otherwise the document may be rejected.

Photographic identification:

"I certify that I have seen the original documentation and the copy documentation hereby represents a complete and accurate copy of the original ID documentation of the person whom I have met".

Private residential address:

"I certify that I have seen the original documentation and that the copy documentation hereby provided represents a complete and accurate copy of the original"

Section F: Declaration and Signature

IMPORTANT:

By signing this application form you consent to JTC Fund Solutions (Guernsey) Limited, Butterfield Bank (Guernsey) Limited, the Investment Manager, and any subcontractors processing the information you have supplied for the purposes of administering your investment.

You are entitled to access information or data that JTC Fund Solutions (Guernsey) Limited holds about you and, where necessary, have it corrected. There may be a charge for this. Your information may also be used to notify you by letter, telephone or e-mail of fund information that may be of interest to you. If you prefer not to receive such information, please contact the Administrator. JTC Fund Solutions (Guernsey) Limited is registered with the Guernsey Data Protection Commissioner and adheres to the relevant Guernsey Data Protection legislation.

I / WE DECLARE AND CONFIRM THAT:

- The information provided in this form is true and correct.
- I/We agree to notify the manager/administrator immediately in the event that information provided on this form changes.
- I/We have read and understood the Scheme Particulars of the Company and the Fund and that this application is made on the terms thereof and the Company's principal documents.
- I/We undertake and observe to be bound by the terms of the Articles.
- I/We understand that the Directors have discretion to refuse to accept applications from investors in whole or in part.
- I am/We are over 18 years old.
- I/We have been offered the latest Scheme Particulars and audited Annual Report and Accounts.
- Funds with which Participating Shares will be purchased are not the proceeds of conduct that would constitute a criminal offence if it had occurred in Guernsey or in the country of their origin.
- I/We understand that the value of Participating Shares can go down as well as up, and that upon realisation of the investments, the proceeds received may be less than the amount invested.
- This application form, when accepted on behalf of the Company, constitutes an agreement between me/us and the Company which shall be governed by and construed in accordance with the laws of Guernsey.
- I am/am not, or We are/are not* resident in Guernsey for tax purposes
***Please select the applicable option**
- I/We understand that any costs incurred by the Company as a result of my/our failure to transmit cleared funds by close of business on the Business Day at least two Business Days before the Dealing Day shall be borne by me/us.
- I/We understand that any interest arising on application monies held in the client account prior to investment in the Fund will accrue for the sole benefit of the Fund, rather than me/us as applicant(s).
- I/We consent to the processing of personal data given in relation to this application and acknowledge and accept that the Administrator may in order to fulfil its duties to the Company and comply with regulatory requirements: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Administrator of Income Tax, Directors, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator and/or any of the aforementioned parties has a legal obligation to disclose such information.
- I/We represent and warrant that I am/We are not (a) person(s) otherwise prevented by legal or regulatory restrictions from applying for Participating Shares in the Company nor acting on or behalf of any such person(s) on a non-discretionary basis.
- I/We hereby agree to indemnify and hold harmless the Directors, the Company, the Investment Manager, the Administrator and the Shareholders against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement contained herein or in any other document delivered by the undersigned to the Fund.
- I/We have satisfied the additional requirements section and that the relevant documentation is attached to this application and I/We agree to provide any further information requested by the Company.
- I/We expect to seek advice from my/our own taxation adviser and to make the appropriate taxation declarations.
- I/We understand that the Company will not accept any subscription monies for investment into the Fund unless or until satisfied with the results of its verification procedures.
- I/We hereby acknowledge that my/our subscription monies will initially be paid into a client account maintained by the Administrator in accordance with the Licensees (Conduct of Business) Rules, 2016 (the "COB Rules").
- I/We have fully familiarised ourselves with any applicable income tax and exchange control laws and regulations regarding the purchase of investments and are not prevented or restrained legally, commercially or otherwise from subscribing for Participating Shares in the Fund.

- I/We declare that the Participating Shares are not being acquired directly or indirectly by a US person or a prohibited person or in violation of any applicable law or regulation and that they will not be owned beneficially by a person under 18 years of age.
- I/We hereby acknowledge that I/We understand the investment objectives of the Company and the Fund and that the Fund meets my/our investment objectives. I/We furthermore acknowledge that I/We will not hold the Fund, its Directors, Investment Manager, or Administrator liable for any financial loss caused by investments made by the fund in line with its parameters.

The Fund is subject to anti-money laundering legislations, in particular the reporting of suspicious or unusual transactions. All complaints should be submitted in writing to JTC Fund Solutions (Guernsey) Limited. A copy of our complaints policies and procedures is available on request.

We, the undersigned Joint Holders of Shares of the Fund

1. hereby authorise the Administrator in accordance with the provisions of the Fund’s Scheme Particulars to accept and act in accordance with written instructions signed by any one of us for the redemption or transfer of Participating Shares of which we are joint holders.
2. hereby declare that all Participating Shares are held for us jointly for ourselves and for the survivors of us and the heirs at law of the survivor of us for the time being.
3. acknowledge that on the death of any holder:
 - (a) the name of such holder shall be removed from the register by and upon production to the Administrator of a notarised death certificate; and
 - (b) this authority will remain in force.
4. acknowledge that if, at any time, any one of us instructs the Administrator to transfer our holding into the names of only some of us or some other name or names, this authority will cease to apply to such Participating Shares.
5. acknowledge that, should the Administrator be in receipt of unexecuted conflicting instructions from two or more of us, the Administrator may deem this authority to be duly revoked.
6. acknowledge that this authority may be revoked at any time by written instruction to that effect signed by any one of us being received by the Administrator.
7. hereby indemnify and agree to hold harmless the Administrator in respect of all actions, claims, costs, and liabilities arising out of the Administrator acting in accordance with this authority.

Corporate / Trust Application Authorisation	
Authorised Person Signature	
Authorised Person Name	
Position Held	
Date	
Authorised Person Signature	
Authorised Person Name	
Position Held	
Date	

Section G: Self-Certification

Tax regulations require us to collect certain information about each investor's tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information about your account(s) with the States of Guernsey Income Tax Authority who may in turn share the information with other relevant tax authorities. If you have any questions about your organisation's classifications in the form below, please contact your tax adviser. Please see explanatory notes for key definitions. Should any information provided change in the future, please ensure you advise us promptly.

If you have any questions about your organisation's classifications in the form below, please contact your tax advisor. See explanatory notes overleaf for key definitions.

If you have your own company self-certification document, please submit that. Otherwise please complete the below.

Section 1: Tax residency

You must complete this section.

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

1.1 Please state the country in which your organisation is resident for tax purposes:

1.2 Please provide us with your organisation's Tax Reference Number:

1.3 Please provide us with your organisation's GIIN Number: (if appropriate)

Section 2A: Organisation's classification under FATCA

You must complete this section.

Please tick one box only in this section, with reference to the tax residency stated in box 1.1.

If your organisation is a financial Institution⁵, please specify which type:

2.1 Guernsey Financial Institution⁵ or a Partner Jurisdiction Financial Institution⁶

2.2 Participating Foreign Financial Institution (in a non-IGA jurisdiction)

2.3 Non-Participating Foreign Financial Institution⁸ (in a non-IGA jurisdiction)

2.4 Financial Institution resident in the USA or in a US Territory⁹

2.5 Exempt Beneficial Owner¹⁰

2.6 Deemed Compliant Foreign Financial Institution¹¹ (besides those listed above)

2.7 Trustee documented trusts, Sponsored Closely Held Investment Vehicles
(please provide your sponsor's GIIN in section 1.3 above)

If your organisation is not a Financial Institution⁵, please specify the entity's FATCA status below:

2.8 Active Non-Financial Foreign Entity¹²

2.9 Passive Non-Financial Foreign Entity¹³

(If you tick this box, you must also complete section 4 for each of your Controlling Persons⁴)

Section 2B: Complete this only if your organisation is US Tax Resident (box 1.1)

Tick this box if your organisation is any of the following and therefore **not** a specified person¹⁶

- A regularly traded corporation on a recognized stock exchange.
- Any corporation that is a member of the same expanded affiliated group as a regularly traded corporation on a recognised stock exchange.
- A government entity
- Any bank as defined in section 581 of the U.S. Internal Revenue Code
- A retirement plan under section 7701(a)(37), or exempt organisation under section 501(a) of the U.S. Internal Revenue Code
- OR any other exclusion listed in Explanatory Note 16

Section 3: Organisation’s classification under the Common Reporting Standard (CRS)²

You must complete this section.

Please tick only one box in this section with reference to the tax residency stated in box 1.1

- 3.1 Financial Institution¹⁷ (this includes Non-Reporting Financial Institutions¹⁸ such as a pension scheme, government entity, International organisation and other entities listed in Explanatory Note 18).
- 3.2 A professionally managed Investment Entity²³ outside of a CRS Participating Jurisdiction²⁴ (if you tick this box, you must also complete Section 4 for each of your Controlling Persons). Please note that the US is not a Participating Jurisdiction for the purposes of CRS.
- 3.3 Active Non-Financial Entity²⁰ which is regularly traded on an established securities market or affiliated thereto, a Governmental Entity or an International Organisation or Central Bank.
- 3.4 Active Non-Financial Entity²⁰ (other than those listed in 3.3 above)
- 3.5 Passive Non-Financial Entity²¹ (If you tick this box, you must also complete section 4 for each of your Controlling Persons⁴)

Section 4: Self-Certification for Controlling Persons⁴

Complete this only if you have ticked box 2.9 in section 2A, box 3.2 or box 3.5 in Section 3

Tax Residency

Tax regulations¹ require us to collect information about each Controlling Person’s⁴ tax residency^a. In certain circumstances we may be obliged to share information about your Controlling Persons⁴ with the States of Guernsey Income Tax Authority who may in turn share the information with any or all participating tax jurisdictions^b.

Please indicate all countries in which your Controlling Persons⁴ are resident for tax purposes and their associated Tax Identification Numbers in the table below. If they are also a US citizen the United States must be included in this table along with their US Tax Identification Number(s). If you have any questions about tax residency^a, please contact your tax adviser.

If you are completing this section on behalf of your Controlling Persons⁴ it is your responsibility to ensure they are aware that their information may be shared as described above.

All information is mandatory for Controlling Persons⁴

Full Name of Controlling Person (CP) and Permanent Residence Address (including country)	Date of Birth (dd/mm/yyyy)	CP Type ^d	Country(ies) of Tax Residency	TIN ^e

^aIn general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency.

^bThose countries that have agreed to exchange information under FATCA and CRS.

^cThe Tax Identification Number is issued by your local tax authority. For example, in Guernsey this is usually your Social Security Number.

^dYou must select one number from the table below for each Controlling Person⁴ to indicate the type of Controlling Person⁴

CP Type	Description of Controlling Person ⁴
801	CP of legal person - ownership
802	CP of legal person - other means
803	CP of legal person - senior managing official
804	CP of legal arrangement - trust - settlor
805	CP of legal arrangement - trust - trustee
806	CP of legal arrangement - trust - protector
807	CP of legal arrangement - trust - beneficiary
808	CP of legal arrangement - trust - other
809	CP of legal arrangement - other - settlor-equivalent
810	CP of legal arrangement - other - trustee-equivalent
811	CP of legal arrangement - other – protector-equivalent
812	CP of legal arrangement - other - beneficiary-equivalent
813	CP of legal arrangement - other - other-equivalent

Explanatory Notes

The following explanatory notes are based on Tax Regulations as implemented in the States of Guernsey. If you have any questions about your organisation's classification, please contact your tax adviser.

Definitions common to FATCA and CRS

1 Tax Regulations

The term "tax regulations" refers to regulations created to enable automatic exchange of information and include Foreign Account Tax Compliance Act (FATCA), and the OECD Common Reporting Standard (CRS) for Automatic Exchange of Financial Account Information.

2 FATCA and CRS

FATCA regulations in sections 1471 to 1474 of the US Internal Revenue Code and the Treasury regulations and official guidance issued thereunder, as amended from time to time. FATCA regulations have been adopted in the States of Guernsey by The Income Tax (Approved International Agreements) (Implementation) (United Kingdom and United States of America) Regulations 2014.

CRS

The OECD Common Reporting Standard (CRS) which has been adopted in the States of Guernsey by The Income Tax (Approved International Agreements) (Implementation) (Common Reporting Standards) Regulations 2015.

3 Non-Profit Organisation

An entity that meets ALL of the following criteria:

it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;

it is exempt from income tax in its country of residence;

it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

the applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and

the applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

4 Controlling Persons

The term "Controlling Persons" means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

"Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest in the Entity. A "control ownership interest" depends on the ownership structure of the legal person and is usually identified on the basis of a threshold applying a risk-based approach (e.g. any person(s) owning more than a certain percentage of the legal person, such as 25%). Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be the natural person(s) who holds the position of senior managing official.

Classifications under FATCA

5 Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company as defined for the purposes of FATCA2. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

6 Partner Jurisdiction Financial Institution

A Partner Jurisdiction Financial Institution includes (a) any Financial Institution resident in Guernsey, but excluding any branches of such Financial Institution that are located outside Guernsey and (b) any Guernsey branch of a Financial Institution not resident in Guernsey. For these purposes, "Partner Jurisdiction" means any jurisdiction that has in effect an agreement with the US to facilitate the implementation of FATCA.

7 Non-IGA jurisdiction

A non-IGA jurisdiction is one where there is no Model 1 or 2 Intergovernmental Agreement in place with the US in respect of FATCA2

8 Non-Participating Foreign Financial Institution (NPFPI)

The term "Nonparticipating Foreign Financial Institution" means a non-participating FFI, as that term is defined in relevant U.S. Treasury Regulations, but does not include a Guernsey Financial Institution or other Partner Jurisdiction Financial Institution other than a Financial Institution identified as a Non-participating Financial Institution pursuant to a determination by the IRS or the States Of Guernsey Income Tax Authority that there is significant non-compliance with FATCA obligations.

9 US Territory

This term means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico or the US Virgin Islands.

10 Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

(i) a Guernsey Governmental Organisation;

(ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by the States of Guernsey Income Tax Authority, or the IRS);

(iii) a Central Bank; or

(iv) a Guernsey registered pension scheme, or non-Guernsey pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

11 Deemed Compliant Foreign Financial Institution

The term "Deemed Compliant Foreign Financial Institution" means

(i) Those entities classified as such in Annex II of the States Of Guernsey IGA, which includes Non-profit Organisations³ and Financial Institutions⁵ with a Local Client Base, or

(ii) Entities which otherwise qualify as such under the FATCA Regulations.

12 Active Non-Financial Foreign Entity (NFFE)

An Active NFFE is any Non-Financial Foreign Entity¹⁴ that meets one of the following criteria:

- a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
 - b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity¹⁵ of an Entity the stock of which is traded on an established securities market;
 - c) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;
 - d) The NFFE is a non-U.S. government, a government of a U.S. Territory, an international organisation, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;
 - e) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, and providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances, the Entity will be a Passive NFFE¹³
 - f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;
 - g) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
 - h) The NFFE primarily engages in financing and hedging transactions with or for Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity¹⁵ provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
- (i) The Entity is a Non-Profit organisation³
- (j) The NFFE is an "Excepted NFFE" as described in relevant U.S. Treasury Regulations.

13 Passive Non-Financial Foreign Entity (PNFFE)

A Passive NFFE is any Non-Financial Foreign Entity¹⁴ that is not an Active NFFE¹².

14 Non-Financial Foreign Entity (NFFE)

The term "NFFE" means any non-US Entity that is not treated as a Financial Institution⁵

15 Related Entity

An entity is a Related Entity of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 per cent of the vote or value in an entity.

16 Specified US Person

The term "Specified U.S. Person" means a U.S. Person, other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- the United States or any wholly owned agency or instrumentality thereof;
- any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- any organisation exempt from taxation under section 501(a) or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- any bank as defined in section 581 of the U.S. Internal Revenue Code;
- any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the Securities Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or
- a broker as defined in section 6045(c) of the U.S. Internal Revenue Code.

Classifications under CRS

17 Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity (23), or a Specified Insurance Company.

18 Non-Reporting Financial Institution

The term "Non-Reporting Financial Institution" means any Financial Institution which is:

- (a) a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- (b) a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;
- (c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in (a) or (b) above, and is included in the list of Non-Reporting Financial Institutions provided to the European Commission by the States of Guernsey;
- (d) an Exempt Collective Investment Vehicle; or
- (e) a trust to the extent that the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.

19 Related Entity

An Entity is a "Related Entity" of another Entity if (i) either Entity controls the other Entity; (ii) the two Entities are under common control; or (iii) the two Entities are Investment Entities, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

20 Active Non-Financial Entity (NFE)

The term "Active NFE" means any NFE 22 that meets any of the following criteria:

- (a) less than 50 % of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 % of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹⁹ of an Entity the stock of which is regularly traded on an established securities market;
- (c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- (d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. . In these circumstances, the Entity will be a Passive NFE²¹
- (e) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- (f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- (g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution, or
- (h) the Entity is a non-profit organisation³

21 Passive Non-Financial Entity (PNFE)

A Passive NFE is any Non-Financial Entity²² that is not an Active NFE, or an Investment Entity²³ that is not a Participating Jurisdiction²⁴ Financial Institution

22 Non-Financial Entity (NFE)

The term "NFE" means any Entity that is not a Financial Institution¹⁷

23 Investment Entity

The term "Investment Entity" means any Entity:

- (a) which primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - (ii) individual and collective portfolio management; or
 - (iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- b) the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets, if the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in subparagraph A(6)(a) of the EU Directive on Administrative Co-operation 2014/107/EU

An Entity is treated as primarily conducting as a business one or more of the activities described in subparagraph A(6)(a), or an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of subparagraph A(6)(b), if the Entity's gross income attributable to the relevant activities equals or exceeds 50 % of the Entity's gross income during the shorter of: the three-year period ending on 31 December of the year preceding the year in which the determination is made; or the period during which the Entity has been in existence.

The term "Investment Entity" does not include an Entity that is an Active NFE because that Entity meets any of the criteria in subparagraphs D(8)(d) through (g) of the EU Directive on Administrative Co-operation 2014/107/EU

This paragraph shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations.

24 Participating Jurisdiction

The term "Participating Jurisdiction" means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.

Disclaimer

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