

Individual Application Form

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, Personal Details and Self-Certification

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.

	First Named Holder	Second Named Holder
Title (Mr/Mrs/Miss/Ms/Other)		
Surname		
Forenames		
Residential Address		
Correspondence Address (if different)		
Work Telephone Number		
Home Telephone Number		
Mobile Telephone Number		
Email Address		
Date of Birth		
Place of Birth		
Nationality		
Citizen of		
Occupation (if applicable)		
Name of Employer		
What is your National Insurance/Guernsey Social Security Number?		

Country of tax residency*		
Tax Identification Number or Tax Reference Number*		
Have you issued any power of attorney? If so, please confirm whether the signing authority is granted to a US person.	Yes No	Yes No
Do you hold any Public Office and/or perform a role with any political exposure? ** If yes, please provide details.	Yes No	Yes No

* Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your account/s with the States Of Guernsey Income Tax Treasury and Resources Dept.

If you have any questions about your tax residency, please contact your tax advisor.

Please note that according to the Scheme Particulars of this Fund, US persons and persons within the United States or any other Excluded Territory may not receive the Participating Shares. Any US citizens are considered tax resident in the US irrespective of their actual country of residence. If you have indicated a US place of birth or have otherwise been a citizen of the United States but have formally renounced your citizenship please provide us with the official documentation confirming this.

** Politically exposed persons are defined as individuals who are (or have been) entrusted with prominent public functions in any jurisdiction, their immediate family and close associates.

Prominent public functions include senior positions within:

- the executive, legislative, administrative, military or judicial branches of a government (elected or non-elected)
- a major political party;
- a ruling royal family;
- international and supranational organisations; or
- a government owned corporation.

A relationship with a PEP includes any corporate entity, partnership or trust relationship that has been established by or for the benefit of such individuals.

Immediate family typically includes the person's parents, siblings, spouse, children, in-laws, grandparents and grandchildren.

Close associate typically includes a person who is widely and publicly known to maintain a close relationship with the PEP, and includes a person who is in a position to conduct substantial domestic / local and international financial transactions on his or her behalf; such persons would include special advisors, privileged civil servants, publicised friends and business associates. Such persons themselves may be PEPs in their own right.

Close associates also include significant party political donors, backers and lobbyists, such persons may not be associated to one particular individual political figure, but their activities allow them access where they can influence politicians and policy and gain undisclosed information.

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 anti-money laundering policies and 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").

Documentation is required for each Joint Investor as applicable:

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

Identification documents must include the following details: legal name, date and place of birth, nationality, an official personal identification number or other unique identifier.

Please note that PO Box numbers, store card bills and bills for Internet only services are not acceptable.

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”.

- **Confirmation of Source of Funds being invested**
(e.g. income, inheritance, sale of existing assets – type of assets sold, savings, other – please specify)

- **Source of Wealth**

Where necessary, confirmation of the Source of Wealth may be requested to support the investor application.

When required to provide source of wealth, the applicant must provide a description as to the events, activities or interests which have generated the applicants overall wealth. Non-specific answers such as “investment income” or “savings” will not be deemed sufficient to meet these requirements.

Examples of Source of Wealth

- Inheritance – Details of when the monies were inherited, amount and whom from; copy of the will; details of how the money was originally made.
- Lottery – A letter from the lottery company confirming the year and amount of the win.
- Sale of Property – Copy of the sale deed; copy of the client’s closing statement from their solicitor; information on ownership from the land registry; details on how the property was purchased/inherited originally.

Please provide full details of Source of Wealth below.

Section B: Financial Adviser 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 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: Client 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, to the best of my knowledge and belief, true and correct.
- I/We agree to notify the manager/administrator immediately if any of this information changes in the future.
- 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/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 procedure is available on request.

We, the undersigned are 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.

Individual & Joint Application Authorisation			
First Named Holder		Second Named Holder	
Signature		Signature	
Date		Date	
Joint Holders Sole Signatory Authority*			

*The Joint Holders Sole Signatory Authority allows the Administrator to be authorised by joint holders to accept a redemption notice, switch notice and/or an endorsement signed by any one of them.

Disclaimer

It is important for individuals intending to establish a structure with us to obtain professional advice in any appropriate jurisdictions, for example, those of their residence, domicile and place of business.

Rocq Capital Management Limited and JTC Fund Solutions (Guernsey) Limited do not provide legal or tax advice and nothing contained in this application form or in any other information provided by Rocq Capital Management Limited and JTC Fund Solutions (Guernsey) Limited should be construed as such.

This application form provides general information only and is not intended to give specific advice. Specific professional advice should be obtained before taking or refraining from any action in connection with the matters referred to herein.

CONTACT DETAILS

+44 (0) 1481 702400

investorservices@jtcgroup.com

For details of our services and general information about JTC Group please visit www.jtcgroup.com.