

# NON INDIVIDUALS SUBSCRIPTION AGREEMENT 7IM DUBLIN (FUNDS) PLC

Please use this form if you are a non-individual (Trust, Charity, Corporation, SIPP provider, etc.) and want to buy 7IM Funds. Investors should ensure that the original subscription agreement is returned by post to the administrator at the address below and also by fax to +353 1 531 8572. Failure to return the original subscription agreement and supporting documentation will delay the payment of redemption proceeds (and dividends/distributions if applicable).

Defined terms used in this subscription agreement are those used in the prospectus (unless the context otherwise requires).

**Please complete all sections in CAPITALS  
SECTIONS MARKED WITH AN \* ARE MANDATORY**

## Section 1 – Applicant

Company / Trust Name\*

Company / Charity Number

Registered Address\*

Country\*

Postcode\*

Correspondence Address

If you would like correspondence to be sent to a different address, please write the details in the boxes below.

Country

Postcode

Daytime Telephone Number

Fax Number

Country of Registration / Incorporation

Contact Name(s)

Email Address

Regulatory Body and Regulatory Reference Number if Applicable

Account Designation if Applicable (maximum 15 characters)

Do any beneficial owners hold more than 25% of the investment by the Nominee company / Intermediary / Company/ Partnership / CIS / Trust/ Public Body.

No

Yes

Please list the names of all beneficial owners below

1.

2.

3.

4.

All joint holders should also sign the declaration at the end of this form.

## Section 2 – Choosing your Investments

Please make sure you read the latest Prospectus, Supplements and KIIDs to help you decide which fund to invest in – or take advice from a Financial Adviser.

The dealing deadline for subscriptions or redemptions is 11:59 (Irish time) on each dealing day. Dealing instructions received after this time will be processed on the next dealing day.

Income units pay out a dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Share class C – minimum lump sum investment £1,000, minimum shareholding £1,000.

Share class S – minimum lump sum investment £10,000,000, minimum shareholding £10,000,000.

Fund Name	Share Class	INC	ACC	Value (£)

The amounts expressed in GBP (£) in this section shall also refer to the currency equivalent thereof. The Directors may waive such minimum investment levels in their absolute discretion. The Directors may vary the Minimum Shareholding in respect of each class to such greater or lesser amount as they may determine in their absolute discretion.

## Section 3 – Paying for your First Investment

You can send money by bank transfer to:

Barclays Bank PLC

SWIFT Code: BARCGB22

Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey

IBAN: GB64BARC20325353529495

Beneficiary: 640037-20019 7IM (Dublin) Funds PLC

For Further credit account name: Northern Trust Fiduciary Services

(Ireland) Limited as custodian to 7IM (Dublin) Funds PLC

Reference: Please quote the fund name along with your client registration number.

**Monies must come from the account of the investor.**

## Section 4 – Income Payments

Income payments are not available for Accumulation shares.

If you want to take income payments from your investment please show your bank account details below. Important – if you do not complete your bank details any income will be automatically reinvested for you. **No third party payments will be undertaken.**

Bank

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

IBAN

SWIFT Code  Reference

## Section 5 – Redemption Payments

Please tick this box if you would like your redemptions payments to be made to the same account as your income payments.

Alternatively, you can provide details for another account using the boxes below. **No third party payments will be undertaken. A request to change bank account details must be made in writing to the administrator and must be accompanied by a bank statement or banker's reference.**

Bank

Branch Address

Branch Sort Code   /   /

Account Name

Account Number

IBAN

SWIFT Code  Reference

**No third party payments will be undertaken. A request to change bank account details must be made in writing to the administrator and must be accompanied by a bank statement or banker's reference.**

## Section 6 – Financial Adviser Details (if applicable)

If you are investing through a Financial Adviser, please ask them to complete this section:

Contact Name

Adviser Firm Name

Address

Telephone Number

Mobile Number

Fax Number

VAT Registration Number

Regulator

Regulator approval number

Advice has been given in relation to this investment (please tick).

**Adviser / Agent Stamp and Authorisation Number**

Agency Number

Commission Terms agreed with the Fund Promoter

You hereby name and appoint the previously named Financial Adviser to be your appointed agent and execute on your behalf **EITHER**

the following acts in accordance with any agreement(s) between you and your Financial Adviser:

- To sell any investments for your account.
- To purchase any investments for your account and give any necessary instructions in the event of corporate actions on these investments.

**OR**

This agent will be given instructions from you on each occasion that you wish to buy/sell investments in the portfolio. You authorise the agent here named to then act on those instructions.

You acknowledge and confirm that any instructions given by the above agent are solely on your behalf, for your account and are your responsibility. The authority you have granted shall be fully effective until 7IM receives written notice of the revocation of this authority signed by you. All deals executed by 7IM, prior to receipt of written revocation of this authority by 7IM, shall be binding. In the event of your death all deals executed by 7IM, prior to receipt of formal notification of your death, shall be binding.

Client Signature:

Dated  /  /

Please remember to also sign the declaration at the end of this form.

Agent signature (Financial Adviser)

The agent named above accepts and agrees to its appointment on the terms of this form.

Dated  /  /

## Section 7 – Anti Money Laundering

In Ireland there are strict rules in place to prevent money laundering. The firms that carry out investment business are responsible for compliance with the money laundering regulations.

Please tick the box for each of the documents you are enclosing. Where the list indicates that certified copies are required, certification should be carried out by a solicitor/lawyer or authorised financial intermediary.

**Financial Company, Bank, Nominee**

Please tick the following box, if appropriate:

I/We are a bank/provider of financial services or a nominee company/nominee account which is part of/used by a bank/provider of financial services authorised and regulated in Australia, Austria, Belgium, Canada, Channel Islands, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Isle of Man, Italy, Japan, Luxembourg, Netherlands, Norway, Portugal, Singapore, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom or the USA acting for our own account.

Is your firm a regulated entity?

Yes

No

If answer is Yes, please supply the name of regulated entity and also the name of your regulator:

If you are acting on behalf of a third party please see the authorised and regulated financial agents nominees and intermediaries section which follows.

**Authorised and regulated financial agents, nominees and intermediaries**

Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States, The Dutch overseas territories of Netherlands Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba. The French overseas territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis & Futuna you must provide;

Standard reliance letter (please request a template from us)\*

Relevant third party's authorised signatory list

Proof of regulatory status of Relevant Third Party

\*This letter is only needed in the instances where the administrator is relying on the relevant third party to complete its customer due diligence.

**Unregulated financial agents, nominees and intermediaries**

If the Nominee Company is unregulated and is acting as intermediary or nominee for investors the following documents are required;

Standard reliance letter (please request a template from us)

Proof of regulatory status of relevant third party and / or

Documentation in accordance with the legal form of the Nominee Company

### Listed Company

For a Listed Company in a Prescribed Country. Proof of Listing on a recognised stock exchange in a Prescribed Country and Authorised Signatory List. Otherwise see list below:

- Proof of listing of the company.
- Full name of the company.
- Registered number of the company.
- Registered office address of the company.
- Principal business address of the company.
- Details of Directors of the company including name, residential address and date of birth.  
Detail of any beneficial owners who are natural persons, who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
- Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and Beneficial Owner.
- Verification of identity or Company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.
- Authorised signatory list.

Note: the Company or the Administrator may require further documentation to be provided upon written request.

### Wholly Owned Subsidiary of a Listed Company

Please provide:

- Full name of the subsidiary company.
- Registered number of the subsidiary company.
- Registered office address of the subsidiary company.
- Principal business address of the subsidiary company.
- Details of Directors of the company including name, residential address and date of birth.  
Detail of any beneficial owners who are natural persons, who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the beneficial owner is deemed high risk per NT rating requirements, the identity should be verified in line with its legal form.

- Confirmations as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify and Beneficial Owner.
- Verification of identity or subsidiary company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.
- Authorised signatory list.

### Private and Unlisted Company

- Full name of the company.
- Registered number of the company.
- Registered office address of the company.
- Principal business address of the company.
- Details of directors of the company.
- Proof of identity of two directors or one director and one authorised signatory (in accordance with Part III above).
- Identify any beneficial owners who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.

Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).

- Verification of identity from:
  - Search of the relevant company registry; and/or
  - Copy of Certificate of incorporation or equivalent; and/or
  - Copy of Memorandum and Articles of Association or equivalent; and/or
  - Copy of audited financial statements.
- Authorised signatory list.

### Partnership

- Full name of the partnership.
- Registered office address and principal business address of the partnership.
- Where not a Partnership Fund, identify all partners, verify the identity of two partners or one partner and one authorised signatory and identify any partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the partnership; or

- If a Partnership Fund, identify and verify the identity of the General Partner, identify all partners, verify the identity of two partners or one partner and one authorised signatory and identify any partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund.

Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).

- Constitutional Document (e.g. Partnership Agreement).
- Authorised signatory list.

### LLC

- Full name of the LLC.
- Registered office address of the LLC.
- Principal business address of the LLC.
- Details of Managing Members.
- Verification of identity of two Managing Members or one Managing Member and one authorised signatory (in accordance with Part III above)...
- Identify members who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the LLC.

Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).

- Constitutional Document (e.g. Certificate of formation).
- Operating agreement.
- Authorised signatory list.

### Charities

Extract from the relevant Charities Register e.g. UK Charities Commission or all items below.

- Full name of the charity.
- Nature/purpose including the nature of the funding of the charity.
- Registered office address of the charity.
- Principal business address of the charity.

- Details of Trustees/Directors/ Governors/Board Members or equivalent.

- Verification of identity of two Trustees / Directors/ Governors/ Board Members or one Trustee / Director/ Governor / Board Member and one authorised signatory

- Details of beneficiaries (where ascertainable).

- Constitutional/Formation Document.

- Authorised signatory list.

### Trusts, Foundation (or similar entity)

- Full name Trust, Foundation or similar entity
- Registered address of trust, foundation or similar entity
- Legal form of the trust, foundation or similar entity
- Trust deed or equivalent or confirmation of the entity to an appropriate register.
- Nature / purpose of the Trust, foundation or similar entity.
- Details of all trustees
- Verification of identity of two trustees or one trustee and one authorised signatory
- Identify any beneficial owners who own more at least 25% of the share capital or voting rights or otherwise exercises control over the trust. Please note that Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.
- Details of settler
- Authorised Signatory List
- Due Diligence: Anti-Money Laundering / Counter Terrorist Financing letter – please contact us to request the template for this letter.

### Pension Scheme

Proof of registration from the relevant tax authorities and an authorised signatory list will be sufficient documentation for employee sponsored pension schemes in the EU. All other pensions scheme will need to provide the information / documents listed below.

- Full name of the pension scheme
- Registered office address of the pension scheme
- Authorised signatory list of the controllers of the pension scheme
- Confirmation of registration (as appropriate) from the relevant tax authorities or pension's board **or**
- Documentation to verify the identity of two Trustees / Directors/ Governors / Board Members or one of Trustees / Directors/ Governors / Board Members and one equivalent **and** one authorised signatory. (If Individuals, one proof of ID and one proof of address is required.
- Constitutional / Formation Document (e.g. Trust Deed).

### Club or Society

- Full name of the club / society
- Registered office address of the club / society
- Nature / Purpose including the nature of funding of the club/ society
- Confirmation of the legal status of the club/society
- Constitutional / Formation Document (e.g. Trust Deed) and / or copy of audited financial statements (if available)
- List of officers of the club / society
- Verification of identity of two officers of the Club / Society or one officer and one authorised signatory
- Authorised Signatory List

### Collective Investment Scheme (CIS)

- Full name of CIS
- Registered address of CIS
- Prospectus of equivalent
- Name and address of scheme provider
- Name and address of scheme administrator
- Names and address of entity carrying out anti-money laundering checks upon the scheme investor and confirmation that the entity is regulated for AML purposes
- Identify any investors who own more than 25% of the share capital
- Authorised signatory list

We reserve the right to request further evidence considered necessary to comply with all anti-money laundering regulations and requirements.

### Government or Public Authority (Body)

Background from a reliable source (e.g. internet search) and authorised signatory list will be sufficient evidence for a Government / Public Body in a Prescribed Country (listed below). All other Government / Public Authorities will need to provide the information / documents listed below.

- Full name of the government/public authority
- Nature and status of the government / public authority
- Registered office address of the government / public authority
- Name of the home state authority and nature of its relationship with the government / public authority
- Ownership of the government / public authority
- Names of main public body officials
- Identify all persons who own or control over 25% of the entity's share capital, profit or voting rights or otherwise exercises control over the management of the entity. Please note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
- Authorised signatory list
- Appropriate background information on the entity (e.g. via internet search)

### Prescribed Countries as set out in SI 347 of 2012:

Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States, The Dutch overseas territories of Netherlands Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba. The French overseas territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis & Futuna.

### School, College or University

- Full name of School, College or university
- Registered address of School, College or university
- Authorised signatory list
- Verification of identity of school, college or university from relevant registers and/or from obtaining appropriate background information (e.g. via internet search)
- Verification of identity of two officials or one official and one authorised signatory **or**
- Confirmation of ownership of the entity. In particular, confirmation of public ownership or independent ownership. Where independently owned, identify all persons who own or control over 25% of the entity's share capital, profit or voting rights, **and**
- Names of main officials of school, college or university.

We reserve the right to request further evidence considered necessary to comply with all anti-money laundering regulations and requirements.

## Section 8 – Declaration of Residence outside of Ireland

### Please only complete section 8 or section 9.

Investors outside of Ireland are able to receive payments without deduction of tax. Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

### Declaration on own behalf

I/we\* declare that I am/ we\* are applying for the Shares on my own/our own behalf and that I am/ we are is entitled to the Shares in respect of which this declaration is made and that

- I am/we are/ the company is\* not currently resident or ordinarily resident in Ireland, and
- Should I/ we/ the company is\* become resident in Ireland I will/ we will\* so inform you, in writing, accordingly.

\* delete as appropriate (mandatory)

### Declaration as Intermediary

I/we\* declare that I am/ we\* are applying for the Shares on behalf of persons:

- who will be beneficially entitled to the Shares: and
- who to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident in Ireland.

I/ we\* also declare that:

- unless I/ we\* specifically notify you to the contrary at the time of application, all applications for Shares made by me/ us\* from the date of this application will be made on behalf of such persons: and
- I/ we\* will inform you in writing if I/we\* become aware that any persons, on whose behalf I/ we\* holds Shares, becomes resident in Ireland.

\* delete as appropriate (mandatory)

Name of Applicant

Address of Applicant

Country

Postcode

Signature of applicant or authorised signatory

(declarant)

Capacity of authorised signatory (if applicable)

Date

Joint Applicants:

Name

Signature

Name

Signature

Important Notes:

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the subscription agreement (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the subscription agreement (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

## Section 9 – Declaration of Residence within Ireland (Declaration referred to in section 7390(6) Taxes Consolidation Act 1977)

Please only complete section 8 or section 9.

I declare that the information contained in this declaration is true and correct.

I also declare that I am applying for the Shares on behalf of the applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D (6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick as appropriate)

- A pension scheme
- A company carrying on life business within the meaning of section 706 TCA 1997
- An investment undertaking
- A special investment scheme
- A unit trust to which section 731(5) (a) TCA 1997 applies;
- A charity being a person referred to in section 739D(6)(f)(i) TCA 1997;
- A qualifying management company
- A specified company
- Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 787I of the TCA 1997, (see further requirements for Qualifying Fund Manager below).
- A credit union to which Section 2 of the Credit Union Act, 1997 applies.

Where this declaration is completed on behalf of a **pension scheme, a company carrying on life business within the meaning of section 706 TCA 1997, an investment undertaking, a special investment scheme, a unit trust to which section 731(5) (a) TCA applies, a qualifying management company or a credit union** to which Section 2 of the Credit Union Act 1997 applies, please also complete the additional declaration below.

- I undertake that, in the event that the Shares cease to be assets of the \*pension scheme/company carrying on life business within the meaning of section 706 TCA 1997/investment undertaking/ special investment scheme/unit trust to which section 731(5) (a) TCA applies/qualifying management company/credit union to which Section 2 of the Credit Union Act 1997 applies, including a case where the Shares are transferred to another such entity, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\*Delete as appropriate)

Where is declaration is completed on behalf of a **Charity**, please complete the following additional declaration.

- I also declare that at the time of making this declaration, the Shares in respect of which this declaration is made are held for charitable purposes only and;
- Form part of the assets of a body of persons or trust related by the Revenue Commissioners as a body or trust established for charitable purposes only, or are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.

I undertake that, in the event that the person referred to in paragraph (7) (d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA 1997, I will by written notice, bring this fact to the attention of the investment undertaking accordingly.

Where is declaration is completed by a **Qualifying Fund Manager**, please complete the following additional declaration.

I also declare that at the time this declaration is made, the Shares in respect of which this declaration is made;

Are assets of an \*approved retirement fund/an approved minimum retirement fund, and

Are managed by the declarant for the individual named below who is beneficially entitled to the Shares.

I undertake that, if the Shares cease to be assets of the \*approved retirement fund/the approved minimum retirement fund, including a case where the Shares are transferred to another such fund, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\* Delete as appropriate)

Where is declaration is completed by an **Intermediary**, please complete the following additional declaration.

I/we\* declare that I am/we are\* applying for Shares on behalf of persons who

to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made; and

is a person referred to in section 739D(6) TCA 1997.

I/we\* also declare that

unless I/we\* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us\* from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and

I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

(\* Delete as appropriate)

Name of Applicant:

Irish Tax Reference of Applicant:

Authorised Signatory:

Capacity in which declaration is made:

Date:

Important Notes

1. This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
2. Tax reference number in relation to a person, has the meaning assigned to it by Section 885 TCA 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying

fund manager, quote the tax reference number of the beneficial owner of the Shares.

3. In the case of (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997.

In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case, it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

**Signature of Applicant one**

**Signatory Capacity if applicable (i.e. Director / Manager)**

**Signature of Applicant two**

**Signatory Capacity if applicable (i.e. Director / Manager)**

**Signature of Applicant three**

**Signatory Capacity if applicable (i.e. Director / Manager)**

**Signature of Applicant four**

**Signatory Capacity if applicable (i.e. Director / Manager)**

In the case of joint holders – all holders should complete this declaration



## Section 10 – Tax Regulations

Regulations based on the OECD Common Reporting Standard (“CRS”) and FATCA require us to collect and report certain information about an account holder’s tax residency. If the Entity’s tax residence is located in a country that is signed up to the CRS, we may be legally obliged to pass on the information in this form and other financial information with respect to the Entity’s financial accounts to our local tax authority, who may in turn share this information with the tax authority of your country(ies) of tax residence.

If you have any questions regarding the Entity’s tax classification please refer to your tax adviser. Key definitions can be found in the following notes section. Should any information change in future, please ensure that you advise us immediately of the changes.

If the Entity has more than one tax residency please complete another sheet for each country.

The country in which the Entity is resident for tax purposes

The Entity’s Tax Identification number

If a TIN is not available please select **one** of the following reasons:

- The country where the Entity is liable to pay tax does not issue TINs to its residents
- 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).
- The account holder is otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below

If the Entity is not a Specified Person in the country stated above, please tick this box

### Entity’s classification under the CRS

Your Entity under applicable tax regulations with reference to the country stated previously.

If the Entity is a Financial Institution, please tick **one box** below:

- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (please also complete a separate individual self-certification form for each of the Entity’s controlling persons)
- Other Financial Institution under the CRS (this includes Non Reporting Financial Institutions such as pension schemes)

If the Entity is not a Financial Institution, please tick **one box** below:

- Active Non-Financial Entity (NFE) – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. Please provide the name of the established securities market and, where appropriate, the name of the regularly traded corporation

- Active NFE – a Government Entity
- Active NFE – an International Organisation
- Active NFE – other (for example a start up NFE or a non-profit NFE)
- Passive NFE (please also complete a separate individual self-certification form for each of the Entity’s controlling persons)

### Entity’s Clarification under FATCA:

If the Entity is a Financial Institution, please tick **one** of the below categories:

- Irish Financial Institution or a Partner Jurisdiction Financial Institution
- Registered Deemed Compliant Foreign Financial Institution
- Participating Foreign Financial Institution

Please provide, if held, your Global Intermediary Identification Number (GIIN) obtained for FATCA purposes

 -       -      

If the Entity is a Financial Institution but unable to provide a GIIN, please tick **one** of the below reasons:

- The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor’s name and sponsor’s GIIN:

Sponsor’s Name:

Sponsor’s GIIN:

- Exempt Beneficial Owner
- Certified Deemed Compliant Foreign Financial Institution
- Non-Participating Foreign Financial Institution
- Excepted Foreign Financial Institution

If the Entity is not a Financial Institution, please tick one of the below categories:

- Active Non-Financial Foreign Entity
- Passive Non-Financial Foreign Entity (please also complete a separate individual self-certification form for each of the Entity’s controlling persons)
- Excepted Non-Financial Foreign Entity

Are you a U.S. Taxpayer or an organisation holding share on behalf of a U.S. Taxpayer?\*

Yes  Please also complete a W-9 Form available from [www.irs.com](http://www.irs.com).

No

\*If you are unsure, please refer to the supporting notes.

## Section 11 – Declaration and Self Certification

I/We confirm that I am/we are 18 years of age or over.

I/We, having received and considered a copy of the current Prospectus, any relevant Supplements thereto and the most recent annual and/ or semi-annual report of the Fund (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Subscription Agreement. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document has been supplied to me/us. I/We confirm that I/We have read the Key Investor Information Document (KIID) and that any future investments to any other sub-fund or share class of the umbrella fund can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at [www.7im.co.uk](http://www.7im.co.uk) and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Fund. I/ We request and authorise Northern Trust to act in accordance with my/ our instructions.

I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or semi annual report (if available) thereto.

I/We certify that I am a/we are eligible to invest in the Fund and I am/ we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any Shares which I/we may purchase to any person or entity who/which is not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.

I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Subscription Agreement is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.

I/We agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator and the Fund indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Subscription Agreement.

I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.

I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.

I/We acknowledge the right of Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.

I/We hereby certify that I am not/none of us is a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act 1933, as amended; or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7.

I/we hereby also certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person. I/We will hold Shares on behalf of a U.S. Taxpayer\* (as defined below):

Yes  No  (please tick the appropriate box)

If the "yes" box is ticked, then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Fund with such additional tax information as it may from time to time request.

\*Please refer to the supporting Notes at end of this form.

I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/ our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.

The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile, or by File Transfer Protocol (FTP) (but not by other electronic means).

I/We hereby agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Administrator acting upon facsimile instructions. The Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I/We acknowledge that due to anti-money laundering requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/ us or has been provided in incomplete form.

I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.

In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.

I/we acknowledge that I/we have read in detail the Privacy Notice attached at Appendix I hereto which provides an outline of my/our data protection rights and the Company's data protection obligations as they relate to my/our investment in the Company. I/we acknowledge that the Company may need to make changes to this Privacy Notice from time to time and shall do so by amending the version of this Privacy Notice published on the website ([www.7im.co.uk/privacy-policy](http://www.7im.co.uk/privacy-policy)) and I/we will review this regularly so I/we are informed of the latest position as it

affects me/us.

I/We hereby authorise the Fund and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Fund for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.

I/We shall provide the Fund, the Manager and the Administrator with any additional information which it may reasonably request in connection with tax and or/FATCA regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.

I/We shall supply the Fund with executed copies of those documents listed below (for US and Non-US Taxpayers).

- W-8BEN
- W-8BEN-E
- W-8IMY
- W-8ECI
- W-8EXP
- W-9

I/We agree to provide to the Fund, the Manager and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "Tax Information") in connection with this investment (including for the purposes of tax and/or FATCA regulations/reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund, the Manager or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.

In addition to any information required to the Tax Information, I/We agree to promptly provide, and periodically update, at any times requested by the Manager or the Administrator with any information (or verification thereof) the Manager or the Administrator deems necessary to comply with any requirement imposed on the Fund including pursuant to tax and/or FATCA reporting requirements (including any imposed by any inter-governmental agreement or any legislation in relation to any intergovernmental agreement). This may include such information as is required to evidence the Fund's (or any accountholder in the Fund's) status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether of its account holders are US person for these purposes.

In addition to the Tax Information, I/We agree to promptly provide, at any times requested by Seven Investment Management LLP or Administrator, any information (or verification thereof) the Manager or the Administrator deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by Seven Investment Management LLP to withdraw from the Fund if necessary to comply with FATCA and the IGA.

We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Fund, the Seven Investment Management LLP or Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We represent and warrant that we have any requisite consent to disclose any information to you. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided by us and I/We will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and

accurate Information.

I/We hereby acknowledge that if I/we fail to provide the any information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.

I/We hereby acknowledge that if I/we fail to provide the any information and such failure results in the Fund being unable to comply with the IGA, the Manager may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.

I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.

Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Fund and/or Unit Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to FATCA requirements.

I confirm that I have read the Key Investor Information Document(s) (KIID) relevant to my investment choice.

I agree to receive contract notes, statements and other reports by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

I/ We acknowledge that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise within 90 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

**Signature**

PRINT Name

Date (DD/MM/YYYY)   /   /

Capacity

Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

**Signature**

PRINT Name

Date (DD/MM/YYYY)   /   /

Capacity

Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

**Supporting Notes**

**US Taxpayer**

A "U.S. Taxpayer" is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a "U.S. Taxpayer" but not a "U.S. Person". For example, an individual who is a U.S. citizen residing outside of the United States is not a "U.S. Person" but is a "U.S. Taxpayer".

If you are a U.S. Taxpayer please also complete an IRS W-9 form to certify your identification number. The form can be downloaded from [www.irs.com](http://www.irs.com). Unfortunately we will be unable to settle redemptions / dividend proceeds from your account without a completed W-9 Form. Please note that no interest will accrue.

Amounts paid to Shareholders who are U.S. Taxpayers as a distribution from the Fund, or as gross proceeds from a redemption of Shares, will generally be reported to Unitholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Unitholders who are U.S. Taxpayers) may subject such Unitholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Unitholders' U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Unitholders and certain other categories of Unitholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Unitholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

**FATCA**

FATCA stands for Foreign Account Tax Compliance Act and is a United States Federal Law. It has been designed to ensure all US persons living inside and outside of the US report their financial accounts to the United States Internal Revenue Service (IRS). FATCA Tax regulations require the collection of certain information about each account holder's tax residency and citizenship status. It also requires financial institutions to report to the IRS about their US clients.

Further information about FATCA can be found in the frequently asked questions section of our website [www.7im.co.uk](http://www.7im.co.uk)

If you have any questions please call **+353 1 434 5176**, fax **+353 1 531 8572** or email **Seven\_TA@ntrs.com**

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales number OC378740.

# TOP UP FORM

## SEVEN INVESTMENT MANAGEMENT (7IM) FUNDS

Please use this form to make additional investments in 7IM (Dublin) Funds.

Please complete all sections in CAPITALS  
SECTIONS MARKED WITH AN \* ARE MANDATORY

### Section 1 – Registered Account Holder(s)

Registered Account Name

Forename(s)\*

Surname\*

Registered Account Number

Permanent Residential Address\*

Country\*

Postcode\*

Daytime Telephone Number\*

Email Address

Registered Account Name (joint holder, if applicable)

### Section 2 – Choosing your Investments

Please make sure you read the Prospectus and KIID to help you decide which fund to invest in – or take advice from a Financial Adviser.

The dealing deadline for subscriptions or redemptions is 11:59am (Irish time) on each dealing day. Dealing instructions received after this will be processed on the next dealing day.

There is a minimum lump sum investment of £1,000 available for each fund as well as Income and Accumulation units. Regular savings amounts are £100 per fund and unit.

Income units pay out dividend to you but Accumulation units reinvest the dividend and give you additional units instead.

Fund Name	Share Class	INC	ACC	Value (£)

### Section 3 – Paying for your Investments

You can send money by bank transfer to:

Barclays Bank PLC

SWIFT Code: BARCGB22

Beneficiary Bank: The Northern Trust International Banking Corporation, New Jersey

IBAN: GB64BARC20325353529495

Beneficiary: 640037-20019 7IM (Dublin) Funds PLC

For Further credit account name: Northern Trust Fiduciary Services (Ireland) Limited as custodian to 7IM (Dublin) Funds PLC

Reference: Please quote the fund name (7IM (Dublin) Funds PLC) along with your client registration number.

## Section 4 – Declaration and Self Certification

Please ensure you sign this to complete your investment application. We may be required to report certain information on individuals to relevant competent authorities. You must provide complete and accurate information on this form.

I/We acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at [www.7im.co.uk](http://www.7im.co.uk) and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Fund. I/We confirm that any future investments to any other Sub-Fund or Class of the Fund can also be transacted based on this confirmation.

I certify that I have completed this form and to the best of my knowledge it is true, correct and complete.

I agree that I will inform Seven Investment Management LLP within 30 days if there are any changes in circumstances which would mean that this application is incorrect.

I agree that you can share the details of this application with the relevant tax authorities according to FATCA\* requirements.

I confirm that I have read the Key Investor Information Documents (KIID) relevant to my investment choice.

### Signature of Registered Account Holder

PRINT Name

Date (DD/MM/YYYY)

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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### Signature of second Registered Account Holder (if joint account)

PRINT Name

Date (DD/MM/YYYY)

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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\*FATCA – the Foreign Account Tax Compliance Act – this is a US Federal law that requires foreign investment companies and banks to report and disclose US interests in foreign financial institutions. It aims to prevent tax evasion by US citizens and residents even if they are residing outside of the US.

**PLEASE RETURN THIS FORM TO: SEVEN INVESTMENT MANAGEMENT LLP, GEORGES COURT, 54-62 TOWNSEND STREET, DUBLIN 2, IRELAND**

# 7IM Funds

## Privacy Notice

**7IM Investment Funds, 7IM Specialist Funds and 7IM Opportunity Funds**  
(referred to in this document as the “7IM UK Funds”).

**7IM (Dublin) Funds plc**  
(referred to in this document as the “7IM Dublin Funds”).

Each of the above may be referred to as the “Fund” or together as the “Funds”.

### Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the “Data Protection Legislation”).

In this document, “we”, “us” and “our” refer to the Fund and Seven Investment Management LLP and its affiliates and delegates.

### Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content. You may be an investor in one or more Funds.

### Your personal data

By virtue of making an investment in one or more Funds and your associated interactions with us (including the initial application for shares, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth,

date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

### How we may use your personal data

The Fund, as the data controller, may collect, store and use your personal data for lawful purposes disclosed below:

(i) to reflect your ownership of shares in the Fund (i.e. where this is necessary for the performance of the contract to purchase shares in the Fund or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);

(ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or

(iii) for direct marketing purposes (that is, providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Northern Trust International Fund Administration Services (Ireland) Limited (the "**Administrator of the 7IM Dublin Funds**") and Northern Trust Global Services PLC (the "**Administrator of the 7IM UK Funds**") may each use your personal data where this is necessary for compliance with a legal obligation to which each Administrator is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction). The Administrators will each act as a data controller in respect of these specific uses of personal data.

Northern Trust Fiduciary Services (Ireland) Limited (the "**Depositary of the 7IM Dublin Funds**") and Northern Trust Global Services PLC (the "**Depositary of the 7IM UK Funds**") may each use your personal data where this is necessary for compliance with a legal obligation to which each Depositary is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where required for global tax reporting purposes). The Depositaries will each act as a data controller in respect of these specific uses of personal data.

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

### **Why we may transfer your personal data**

We may share your personal data with our affiliates and delegates.

In certain circumstances we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the Fund with the relevant taxation authorities and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the European Economic Area (the "**EEA**").

We anticipate that the following affiliates and delegates will process your personal data on our behalf and this may include certain entities located outside the EEA:

- the Administrator of the 7IM UK Funds;
- the Administrator of the 7IM Dublin Funds;

- the manager of the 7IM Dublin Funds, Link Fund Manager Solutions (Ireland) Limited
- the Fund's investment manager and distributor, Seven Investment Management LLP and their respective affiliates.

### **The data protection measures we take**

We anticipate that your information shall be sent internationally, including to countries outside of the EEA in particular, the above referenced Northern Trust entities have indicated that they will do this. Any transfer of personal data by us, any Northern Trust entities or any of our other duly authorised delegates outside the EEA shall be subject to appropriate safeguards being in place in accordance with the conditions in the Data Protection Legislation. Please contact us if you wish to obtain more information on the appropriate safeguards. See "Getting in touch" below.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

### **Your data protection rights**

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;

the right to lodge a complaint in Ireland with the Data Protection Commission in respect of the 7IM Dublin Funds (for more information see <https://dataprotection.ie/docs/complaints/1592.htm>) or in the United Kingdom with the Information



Commissioner in respect of the 7IM UK Funds (for more information see [www.ico.org.uk/concerns](http://www.ico.org.uk/concerns)).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

### **Our retention of your personal data**

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the Fund or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

**25 May 2018**

### **Changes to this Privacy Notice**

We may need to make changes to this Privacy Notice from time to time and shall do so by amending the version of this Privacy Notice published on our website <https://www.7im.co.uk/7IM-Funds-Privacy-Notice> and we would therefore invite you to review this regularly so you are informed of the latest position as it affects you.

### **Cookies Policy**

We have in place a separate cookies policy which is available on our website <https://www.7im.co.uk/7IM-Cookie-Policy> and details the use of cookies on our website.

### **Getting in touch**

The Funds are not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact us at [information@7IM.co.uk](mailto:information@7IM.co.uk)