

# Brooks Macdonald International Multi Strategy Fund Limited

## Regulated Application Form

December 2023

This application form is for the use of Regulated Entities, where, under Jersey AML/CFT laws, regulations and guidance:

- An exemption from Third Party identity verification can be utilised, (Money Laundering (Jersey) Order 2008 Article 17), and/or
- The Applicant qualifies for an exemption under Article 18 of the Money Laundering (Jersey) Order 2008



**BROOKS MACDONALD**

## About this form

Brooks Macdonald International Multi Strategy Fund Limited is a company incorporated in Jersey with limited liability under the Companies (Jersey) Law 1991. This application is to buy participating shares of the classes shown below in Brooks Macdonald International Multi Strategy Fund Limited ("The Company").

Please write clearly in the spaces with capital letters or tick (✓) the boxes where indicated. Your application may be delayed if any of the information we need is missing.

Please refer to Section 9 - Notes on completion of the Application Form for guidance before completing this form and once completed, check that you have taken a copy of the completed Application Form for future reference. The Manager may reject any application at its sole discretion, or require additional information to meet AML/CFT requirements.

This application form is for the use of Regulated Entities, where, under Jersey AML/CFT laws, regulations and guidance:

- An exemption from Third Party identity verification can be utilised, (Money Laundering (Jersey) Order 2008 Article 17), and/or
- The Applicant qualifies for an exemption under Article 18 of the Money Laundering (Jersey) Order 2008.

**If the Applicant does not meet the relevant rules and definitions in Articles 17 and/or 18, the Administrator will contact you.**

**Applicant:** The entity in whose name the shareholding will be registered

**Third Party/ies:** Person(s) for whom the Applicant is acting - the Applicant's customers

### 1. Applicant details for Regulated Entities (please complete the below)

a. Applicant name

Name in which the shareholding is to be registered (i.e nominee name)

Registration Number of Applicant (or equivalent)

Designation (if applicable)

Regulated Entity type (please choose regulated status that applies)

Deposit taking business

Permit or holder under the Collective Investment Funds (Jersey) Law 1988, or equivalent

Investment business

Insurance Business (e.g., Life Annuity, Linked Long Term, Permanent Health)

Fund Services Business

Pension Fund Administrator (\*\*complete pension section at the bottom of this form)

b. Regulatory Authority details (i.e JFSC, GFSC or FCA etc)

If the Applicant is not itself regulated, but it is a wholly owned subsidiary of a regulated business please provide further detail and complete i, ii and iii on page 2. Please select what type of business the applicant is part of and the regulated status of the parent

Regulated Deposit taking business

Investment Business

Fund Services Business

Pension Fund Administrator

Regulated status of parent

### 1. Applicant details for Regulated Entities (continued)

i) The Applicant is incorporated in the same jurisdiction as its parent	<input type="checkbox"/> Yes	<input type="checkbox"/> No
ii) The Applicant has no customers who are not customers of its parent	<input type="checkbox"/> Yes	<input type="checkbox"/> No
iii) The Applicant maintains the same policies and procedures as its parent	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c. Date of incorporation (or equivalent)	<input type="text"/>	
d. Country of incorporation (or equivalent)	<input type="text"/>	
e. Trading name(s) (if applicable)	<input type="text"/>	
f. Registered office address (or equivalent)	<input type="text"/>	
g. Principal place of business or operations (if different to the above)	<input type="text"/>	
h. Address to which all correspondence should be sent (if different to the above)	<input type="text"/>	
i. Contact Name (if applicable)	<input type="text"/>	
Telephone	<input type="text"/>	
Email	<input type="text"/>	
Website	<input type="text"/>	
j. Nature of business	<input type="text"/>	
k. Is the Applicant investing its own monies (acting as principal)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Confirmed acting as principal (Article 18(3)) - (nothing further required)		
In relation to the applicant, is the applicant investing on behalf of underlying Third parties (such as its own customer).	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes do the Third Parties carry out regulated financial services business	<input type="checkbox"/> Yes	<input type="checkbox"/> No

### 1. Applicant details for Regulated Entities (continued)

If yes, please confirm which regulated business and the jurisdiction in which it is carried out.

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Please provide a copy of the license (JFSC/GFSC/FCA/other)

l. If the Third party is resident outside Jersey, please tell us why it is investing in a Fund which is domiciled outside of its country of residence

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m. Source of Funds - The activity that generates the funds for the Applicant (e.g., salary, trading revenues, or payments out of a trust). Source of funds relates directly to the economic origin of funds to be used in a business relationship or one-off transaction.

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n. Source of Wealth - The activities that have generated the total net worth of the Applicant (e.g., ownership of a business, inheritance, or investments). Source of wealth is the origin of the accrued body of wealth of an individual.

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Details of type, value and volume of activity expected

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Purpose and intended nature of the investment in the fund

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o. Please disclose any higher risk factors, which may prohibit the use of a statutory exemption. Please see section 9 for more information on "higher risk factors"

If yes, please provide details

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## 1. Applicant details for Regulated Entities (continued)

p. Please complete this section if the applicant is a pension scheme:

A pension scheme?  Yes  No

A superannuation scheme?  Yes  No

An employee benefit scheme?  Yes  No

A share option scheme?  Yes  No

If **Yes**, please confirm each of the following and provide a copy of the scheme documents evidencing that:

- The contributions to the scheme are made by an employer or by way of deductions from wages
- The rules of the scheme do not permit the assignment of an interest of a member of the scheme except after the death of the member

## 2. Tax Information

(Section 9 contains some further explanations and information)

a. **Entity Classification for FATCA Purposes**

Applicant Global Intermediary Identification Number (GIIN)

**If the Entity is a Financial Institution, please specify which applies below:**

UK Financial Institution or Partner Jurisdiction

Participating Foreign Financial Institution

Non- Participating Foreign Financial Institution

Exempt beneficial owner

Deemed a Compliant Foreign Financial Institution or Non-reporting Financial Institution

**2. Tax Information (continued)**

**b. If the Entity is not a Foreign Financial Institution. Please specify which applies below:**

Publicly traded NFFE or NFFE affiliate of a publicly traded corporation

Active Non-Financial Foreign Entity ("NFFE")

Passive Non-Financial Foreign Entity

**c. Entity's Classification for the Purposes of Common Reporting Standards (CRS)**  
(you must complete this section)

A Professionally Managed Investment Entity outside of a CRS Participating Jurisdiction

Financial Institution

Non-Reporting Financial Institution

Active NFE - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a Related Entity of an Entity the stock of which is regularly traded on an established securities market

Active NFE - Government Entity

Active NFE - International Organisation

Active NFE - Other

Passive Non-Financial Entity

	Country	Corporate Tax Identification Number (TIN)
<b>d. In which country/countries is the Applicant tax resident?</b>		
State all that apply and provide applicants' tax Identification numbers (TIN)		

If the applicant is unable to provide a TIN number, please provide an explanation here:

### 3. Investment details

a. If you already hold Shares in a Brooks Macdonald International Fund and would like this investment added to the same portfolio, please state your portfolio number here. Alternatively leave blank and a new portfolio will be opened.

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b. Please indicate below, the amount of your lump sum investment and any regular savings or withdrawals of Shares of Brooks Macdonald International Multi Strategy Fund Limited:

Sterling Multi Asset Fund Classes			Amount of Lump Sum Investments	Amount of Regular Savings***	Amount of Regular Withdrawals (please stipulate the monetary amount or number of shares) ****	Select to redeem shares on either a monthly, quarterly or annual basis by entering M, Q or A in the boxes below:
	A Class*	B Class**				
Cautious Balanced Strategy	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced Strategy	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
Growth Strategy	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
High Growth Strategy	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Sterling Fixed Income Fund Classes</b>						
High Income Bond Fund Monthly	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
High Income Bond Fund Quarterly	<input type="checkbox"/>	<input type="checkbox"/>	£ <input type="text"/>	£ <input type="text"/>	<input type="text"/>	<input type="text"/>
<b>US Dollar Multi Asset Fund Classes</b>						
US\$ Growth Strategy	<input type="checkbox"/>	<input type="checkbox"/>	US\$ <input type="text"/>	US\$ <input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Investment</b>			£ <input type="text"/>			
			US\$ <input type="text"/>			

\* A Class Shares are available to eligible financial intermediaries, trading platforms and other Financial institutions registered in jurisdictions having equivalent regulatory requirements to Jersey and a minimum of £100,000 (or currency equivalent) available for investment

\*\* B Class Shares minimum initial Lump Sum investment in any one Fund is £5,000 (or currency equivalent) subsequent investments must be for a minimum of £1,000 (or currency equivalent).

\*\*\* Minimum regular Savings amount for the Sterling based strategies is £100 or US\$200 for the US\$ Growth Strategy For regular Savings please complete the appropriate Direct Debit or Standing order Form

\*\*\*\* Shareholders may instruct the Administrator to redeem shares on either a monthly, quarterly, or annual basis, such redemptions can be for a fixed amount or number of shares and should be for a minimum of £100 (or equivalent).

**Sterling Settlement Details**

Electronic Funds Transfer payments for the credit of Brooks Macdonald International Fund Managers Limited - client account  
Account Number 01773390  
IBAN Number: GB40LOYD30946101773390  
Lloyds Bank International  
9 Broad Street, St. Helier, Jersey JE4 8NG  
Sort Code 3 0 - 9 4 - 6 1  
If remitting funds from outside the UK send via SWIFT MT103 to LOYDJES1001

**US Dollar Settlement Details**

Please request your bankers to route payments by authenticated SWIFT MT103 to LOYDJEH1 for the credit of Brooks Macdonald International Fund Managers Limited - client account  
Account Number 51091317  
IBAN Number GB75LOYD30166351091317  
Lloyds Bank International  
9 Broad Street, St. Helier, Jersey JE4 8NG  
Sort Code 3 0 - 1 6 - 6 3

When sending monies to us by bank transfer for Lump Sum investments, please note that the base currency of the funds strategies are sterling, except for the US\$ Growth Strategy, which is based in US Dollars. If proceeds are received in a different currency to the base currency of the funds, then they will be exchanged into the base currency of that fund prior to investment.

Please mark (✓) the relevant box

We have arranged a telegraphic transfer to the appropriate bank account of Brooks Macdonald International Fund Managers Limited for the (date):

Please insert date above

OR

We enclose a remittance for the above investment made payable to "Brooks Macdonald International Fund Managers Limited reference **account name/designation**".

**4. Nominated bank account**

- a. Please pay the proceeds of any future redemption of Shares of any class registered in the company name as specified in Section 1, to:

Name of bank

Address

Account name\*

Sort Code

 -  - 

BIC number

Account number/  
IBAN number

\*This account must be in the name of the registered shareholder as specified in Section 1

If you wish to nominate additional banks to the one stated above please advise the Manager in writing.



## 5. Dividends

Both A and B Share Classes in the High Income Bond Fund are available with the option of receiving distributions on either a Monthly or Quarterly basis. These Share Classes will be distinguished by the addition of either "Monthly" or "Quarterly" in the description of the Share Class.

Please note that any dividends that are payable in the Multi Asset Funds, will be reinvested to purchase further Shares in the same Fund on the relevant dealing day. If you are investing in the US\$ Growth Strategy, this Fund takes the form of a Roll-up Fund and dividends are not payable.

Please tick the relevant box

- a) Please re-invest dividends to purchase further Shares in the Fund
- b) Please send dividends to our bank/building society as specified below

Name of bank

Address

Account name\*

Sort Code

 -  - 

BIC number

Account number/  
IBAN number

## 6. Data Privacy Notice - Personal and Business information

### **Who looks after your personal information?**

Your personal information will be held by Brooks Macdonald International Fund Managers Limited, which is part of Brooks Macdonald group of companies (the Group), and is registered as a 'Controller' under the Data Protection (Jersey) Law 2018 as we collect and process personal information about you. More information on the Group can be found at <https://www.brooksmacdonald.com>

### **How we use personal information**

#### **We will use personal information:**

To provide products and services, manage your shareholding in the Company, manage your relationship with us and comply with any laws or regulations we are subject to (for example the laws that prevent financial crime or the regulatory requirements governing the products we offer). For other purposes including improving our services and exercising our rights in relation to agreements and contracts.

To support us with the above, we analyse information we know about you and how you use our products and services, including some automated decision making.

You can find out more about how we use your personal Information, and in what circumstances you can ask us to stop, in our full privacy notice.

#### **Who we share personal information with**

Your personal information will be shared within our Group and with our service providers, so that we and any other companies in our Group can look after your relationship with us. By sharing this information it enables us to better understand our customers' needs, run accounts, and provide products and services efficiently. This processing will include some activities which take place outside of Jersey and/or the European Economic Area in jurisdictions whose data protection laws may not be as extensive as those which apply to us. In these instances we will ensure appropriate safeguards are in place to protect your personal information. You can find out more about how we share your personal information in our full privacy notice.

#### **Where we collect personal information from**

##### **We will collect personal information from a number of sources including:**

- information given to us on application forms, if you meet with us face-to-face, over the phone, by email or through the device you use and when new services are requested.
- from analysis of how you operate our products and services, including the frequency, nature, location, origin and recipients of any payments.
- from or through other organisations (for example, your financial intermediary, credit reference agencies and fraud prevention agencies).

You can find out more about where we collect personal information about you in our full privacy notice.

#### **Our data retention policy?**

We are committed to only keeping your personal data only for as long as we need to in order to fulfil the relevant purpose(s) it was collected for and for as long as we are required, or permitted, to keep it by law. In most cases, we will retain your personal Information for not less than 10 years after termination or expiry of our contract with you.

*Please note*, some of your personal information will be held on a shareholder register. As required by law, these registers are shared with the Jersey Financial Services Commission and may be subject to data retention periods / requirements that differ from our own.

You can find out more about our data retention policies in our full privacy notice.

#### **Do you have to give us your personal information?**

We may be required by law, or as a consequence of any contractual relationship we have, to collect certain personal information. Failure to provide this information may prevent or delay us fulfilling these obligations or performing services.

## What rights you have over your personal information

### The law gives you a number of rights in relation to your personal information including:

- the right to access the personal information we have about you. This includes information from application forms, statements, correspondence and call recordings.
- the right to get us to correct personal information that is wrong or incomplete.
- in certain circumstances, the right to ask us to stop using or delete your personal information.
- in certain circumstances, to receive your personal data, which you have provided to us, in a structured, commonly-used and machine-readable format and the right to transmit that data to another data controller without hindrance, or to have that personal data transmitted to another data controller, where technically feasible.

You also have the right to lodge a complaint with the data protection authority about the way in which your personal data is being used:

- *In Jersey to:* the Jersey Office of the Information Commissioner (<https://jerseyoic.org/raise-a-concern-options/>)

If you would like to lodge a complaint with us, or exercise any of your rights, please contact us using our contact details below.

Where we rely on your consent to use your personal data, you have the right to withdraw that consent at any time.

You can find out more about these rights and how you can exercise them in our full privacy notice.

### Other individuals you have financial links with

We may also collect personal information about other individuals who you have a financial link with. This may include people who you have joint accounts or policies with such as your partner/spouse, dependents, beneficiaries or people you have commercial links to, for example other directors or officers of your company. We will collect this information to assess any applications, provide the services requested and to carry out credit reference and fraud prevention checks. You can find out more about how we process personal information about individuals with whom you have a financial link in our full privacy notice.

### How we use credit reference agencies

In order to process your application we may supply your personal information to credit reference agencies (CRAs) including how you use our products and services and they will give us information about you, such as about your financial history. We do this to check your identity and prevent criminal activity.

We may also continue to exchange information about you with CRAs on an ongoing basis, information on funds going into the account and the balance on the account. CRAs will share your information with other organisations, for example other organisations you ask to provide you with products and services. Your data will also be linked to the data of any joint applicants or other financial associates as explained above.

### How we use fraud prevention agencies

The personal information we have collected from you and anyone you have a financial link with may be shared with fraud prevention agencies that will use it to prevent fraud and money laundering and to verify your identity. If fraud is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by us and these fraud prevention agencies, and your data protection rights, can be found in our full privacy notice.

### Our full privacy notice

It is important that you understand how the personal information you give us will be used. Therefore, we strongly advise that you read our full privacy notice, which you can find at <https://www.brooksmacdonald.com/site-services/privacy-and-cookies> or you can ask us for a copy.

### How you can contact us

If you have any questions or else require more information about how we use your personal information please contact our Data Protection Officer at:

email: [DPO@brooksmacdonald.com](mailto:DPO@brooksmacdonald.com).

post: Data Protection Officer, Brooks Macdonald Group plc, 21 Lombard Street, London EC3V 9AH.

## 7. Declarations and signatures

This section must be completed by a duly authorised representative of the Applicant.

By signature of this Application Form, the Applicant will be deemed to have: (i) taken all necessary actions to authorise the signing of this Application Form; and (ii) confirmed that such authorisation is in accordance with its relevant constitutional documents.

In this section only, “we/us” means the Applicant.

We hereby declare that:

- i. We understand and accept that this application is made on the basis of and subject to the terms of the current or any subsequent Prospectus of the Company, a copy of which has been offered to us and is subject to the Memorandum and Articles of Association of the Company.
- ii. We have received and read the relevant Key Information Document(s) (KID(s)) and that we will read and review the most up-to-date version of the KID(s) prior to making any subsequent investment in the fund(s).
- iii. A copy of the latest available Report and Accounts of the Company has been offered to us.
- iv. The Shares are NOT being acquired directly or indirectly by a person resident in the United States of America.
- v. The Shares are NOT being acquired directly or indirectly by a person in violation of any law applicable to the sale of Shares to such a person.
- vi. The beneficial owners of the shares are known to us and we have completed all required “Know Your Customer” and Money Laundering Procedures to our satisfaction.
- vii. We undertake to advise you of any changes to the Applicant’s beneficial ownership as soon as such changes are effective (private companies only).
- viii. We confirm that none of the shares in the company of the Applicant have been issued in bearer form.
- ix. We acknowledge that investment in the Company is not a deposit with or other liability of any of the companies in the Brooks Macdonald Group and is subject to investment risk including delays in repayment and potential loss of income and capital invested.
- x. We acknowledge that this contract is with Brooks Macdonald International Fund Managers Limited for investment in the Company and is subject to the law of Jersey.
- xi. This contract is in English and we agree that you may continue to communicate with us in English once this contract is made.
- xii. The details provided are accurate.
- xiii. We confirm we have read the information provided in section 6 of this application form entitled “Data Privacy Notice - Personal and Business information” and consent to the processing of our personal data.
- xiv. We confirm that any funds transferred do not or will not represent the proceeds or derive from, any activity which would be considered illegal under the Anti-Money Laundering and Proceeds of Crime legislation applicable in Jersey and my/our country(ies) of residence.
- xv. We confirm that the company does not issue bearer shares.

**Copies of the current and any subsequent prospectus are obtainable, free of charge, from the Manager.**

### First signatory

Signature

(please sign in black ink if possible)

Date

Print name

Business title /status

Company stamp/seal

### Second signatory

Signature  
(please sign in black ink if possible)

Date

Print name

Business title/status

**All required documentation must be received with this application before the investment will be made. Please refer to Section 10 - Notes on completion of the Application Form, for details of documents to be provided.**

#### Your Marketing preferences

I consent to Brooks Macdonald International Fund Managers Limited contacting me in the following ways about investment products, services and promotional offers that may be of interest.

Please tick here:  By post  By phone  By email

I consent to other entities within the Brooks Macdonald group contacting me, in the following ways about investment products, services and promotional offers that may be of interest.

Please tick here:  By post  By phone  By email

You can withdraw your consent at any time by letting us know by post, phone or email. We'll continue to use your chosen method of communication for all other types of interactions with you.

Signed  Signed

Date  Date

## 8. Agent's details (if applicable)

Agent's name

Address

Regulating authority

Contact details

Telephone

Fax

Email

Registration number

## 9. Notes on completion of the Application Form

This application form is for the use of Regulated Entities, where, under Jersey AML/CFT laws, regulations and guidance:

- An exemption from Third Party identity verification can be utilised, (Money Laundering (Jersey) Order 2008 Article 17), and/or
- The Applicant qualifies for an exemption under Article 18 of the Money Laundering (Jersey) Order 2008.

In the case of the Money Laundering (Jersey) Order 2008 Article 17 exemptions, Brooks Macdonald International Fund Managers Limited will undertake a risk assessment of the Regulated Financial Services Provider and may provide you with further documentation for completion to meet AML/CFT requirements.

In circumstances where we are unable to apply these exemptions, we will request further information and documentation on Beneficial Owners and Controllers, and Third Parties.

Checklist of Documents to be provided:

- Applicant/Entity structure chart (and, where applicable, structure charts of, beneficial owners and controllers and third parties)
- Evidence of licence/regulatory status of Applicant and Third Party(ies), if applicable
- Certificate of Incorporation (or equivalent) - certified copy
- Memorandum & Articles of Association
- Latest Audited Accounts
- Register of directors - certified copy
- Authorised signatory list, including signing powers - certified copy
- Completed Questionnaire and Terms of Business if applicable

### Definitions:

**Applicant:** The entity in whose name the shareholding will be registered

**Third Party/ies:** Person(s) for whom the Applicant is acting - the Applicant's customers

**Public Authority:** A term that describes governmental organisations that carry out tasks in the public interest

**Equivalent Jurisdiction:** Generally, jurisdictions which require financial services businesses to implement measures to forestall and prevent money laundering and the financing of terrorism that are consistent with FATF Recommendations.

Please contact us for further information about a particular jurisdiction.

**Equivalent Regulated Business:** Business carried on outside Jersey that:

- If carried on in Jersey would be financial services business
- May only be carried on in a country or territory outside Jersey by a person registered or otherwise under the law of that country or territory to carry on that business
- Is subject to requirements to forestall and prevent money laundering and financing of terrorism consistent with those in the FATF Recommendations in respect of that business, and
- Is supervised for compliance with those requirements by an overseas regulatory authority

**Listed Securities:** Securities which are listed on a regulated or an IOSCO-compliant market or on a regulated market

### Section 1 Applicant details:

Higher risk factors include situations where the Applicant or Third Party/ies are:

- A person with a connection to an "enhanced risk state" (as defined in the Jersey Financial Services Commission AML/CFT Handbook, Appendix D1)
- A person with a connection to a country identified as presenting higher risks (as defined in the Jersey Financial Services Commission AML/CFT Handbook, Appendix D2)
- A Politically Exposed Person (PEP) including an immediate family member or close associate of a PEP
- A resident of or a person connected with a sanctioned country
- A person who carries out, or whose source of funds or wealth derives from a "sensitive activity" as defined by the Jersey Financial Services Commission in Table 2 of its Sound Business Practice Policy
- A person regarded as Higher Risk by the Applicant due to the presence of other risk factors such as, Personal Asset Holding vehicle, Company that issues bearer shares and Non-resident customer.

### Section 2 Tax Information:

**Tax Identification Number (TIN):** is an identifying number used for tax purposes. Most countries issue them to identify their taxpayers and to help with the administration of tax affairs. For entities, jurisdictions may use a business/company registration code or number where no TIN has been issued.

**Global Intermediary Identification Number:** consists of 19 characters, GIINs are assigned by the FATCA registration system to financial institutions and direct-reporting non-financial entities. The complete list of the variety of reporting entities includes:

- Foreign financial institutions (FFIs).
- Financial institution (FI) branches.
- Direct reporting non-financial foreign entities (NFFEs).
- Sponsoring entities, sponsored entities and sponsored subsidiary branches.

These registered entities can use their official GIIN to identify themselves to withholding agents and tax administrators for FATCA reporting purposes.

**FATCA:** The Foreign Account Tax Compliance Act

**FATCA tax Status:** Used by non-resident alien or foreign corporation, to avoid or reduce tax withholding from U.S source income. The Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) a.k.a. Form W-8BEN-E is used by a foreign person to establish beneficial ownership and foreign status.

### Section 3 Investment Details:

Monies in respect of applications may be paid by telegraphic transfer or cheque. Please mark (insert tick symbol) the relevant box, dependent on which payment method you choose.

- (i) For payment by telegraphic transfer, please arrange for your bank to pay, net of all charges, the exact amount to be invested to our settlement bank details provided on page 6 and insert the date on which this payment will be made. The investment will be made on the first Dealing Day following receipt of the funds. In order to avoid unnecessary delay in applying funds for the purchase of shares, ensure that the Manager is pre-advised of the payment and that the name of the fund and your name are quoted as references.
- (ii) For payments by cheque, issue the cheque drawn on the account of the Applicant for the exact amount to be invested, made payable to "Brooks Macdonald International Fund Managers Limited reference account name/designation" and attach to your Application Form. Cheques made payable to a third party and endorsed are not acceptable. Persons intending to pay funds by this means should note that the investment will be made on the first Dealing Day following receipt of cleared funds. Sterling cheques drawn on a UK bank will normally take three working days to clear and drafts in other currencies will take longer and may be subject to charges.

### Section 4 Nominated Bank Account:

Insert the full name and address of your bank, together with full account name and account number. Investors should note that this is the bank account to which the Manager will repay the proceeds of any redemptions.

### Section 5 Dividends:

If you're investing in one of the Sterling Fixed Income Fund Classes, please tick one of the relevant boxes to select your preferred option.

### Section 6 Data Privacy Notice - Personal and Business information:

Information only about how Brooks Macdonald use your personal and business information.

### Section 7 Declarations and Signatures:

Read the declarations carefully and ensure that you have received and read the documentation referred to therein. The form must be signed by two authorised signatories in accordance with your current authorised signature list.

### Section 8 Agent Details:

Insert Agent's details, if appropriate.

### **Certification of Documents:**

When providing certified copies of documents, the person certifying the copy document must state the following: "I hereby certify that this is a true and correct copy of the original document sighted by me and, where the document contains a photograph, the photograph is a true likeness of the individual." The person certifying the document must state the following:

- Full Name of Certifier
- Title of Certifier
- Signature of Certifier
- Date of Certification - must be dated within the last 3 months
- Contact details - address, telephone number and email address of Certifier. Where more than one page of any document in relation to identification is provided, the certifiers must fully comply with the above on the first page and then sign and date each remaining page. NB: Certification must be of original documents; certified copies of faxes and copies of certified copies are not acceptable and will be rejected.

This certification must be undertaken by one of the following:

- Lawyer/Notary Public/Barrister who is a member of a recognised professional body
- An Embassy, Consulate or High Commission employee of the country of issue (acting in their official capacity). Note: British Foreign and Commonwealth overseas missions will, in most cases, not provide this service
- A member of the judiciary, a Senior Civil Servant, Accountant who is a member of a recognised professional body
- A Director, Officer or Manager of a regulated Financial Services Business operating in an equivalent jurisdiction (branch rubber stamp must be affixed)
- Serving Police Officer or Customs Officer (Office/Station rubber stamp must be affixed)
- An individual that is qualified to undertake certification services under the authority of the Certification and International Trade Committee (in Jersey this service is available through the Jersey Chamber of Commerce)

### **The completed Application Form should be posted to:**

The Administrator, PO Box 12984, Dunmow, United Kingdom. CM6 9DQ

Contact Details: Customer Services Telephone +44 (0) 800 735 8000 International Callers  
+44 (0) 1534 700104

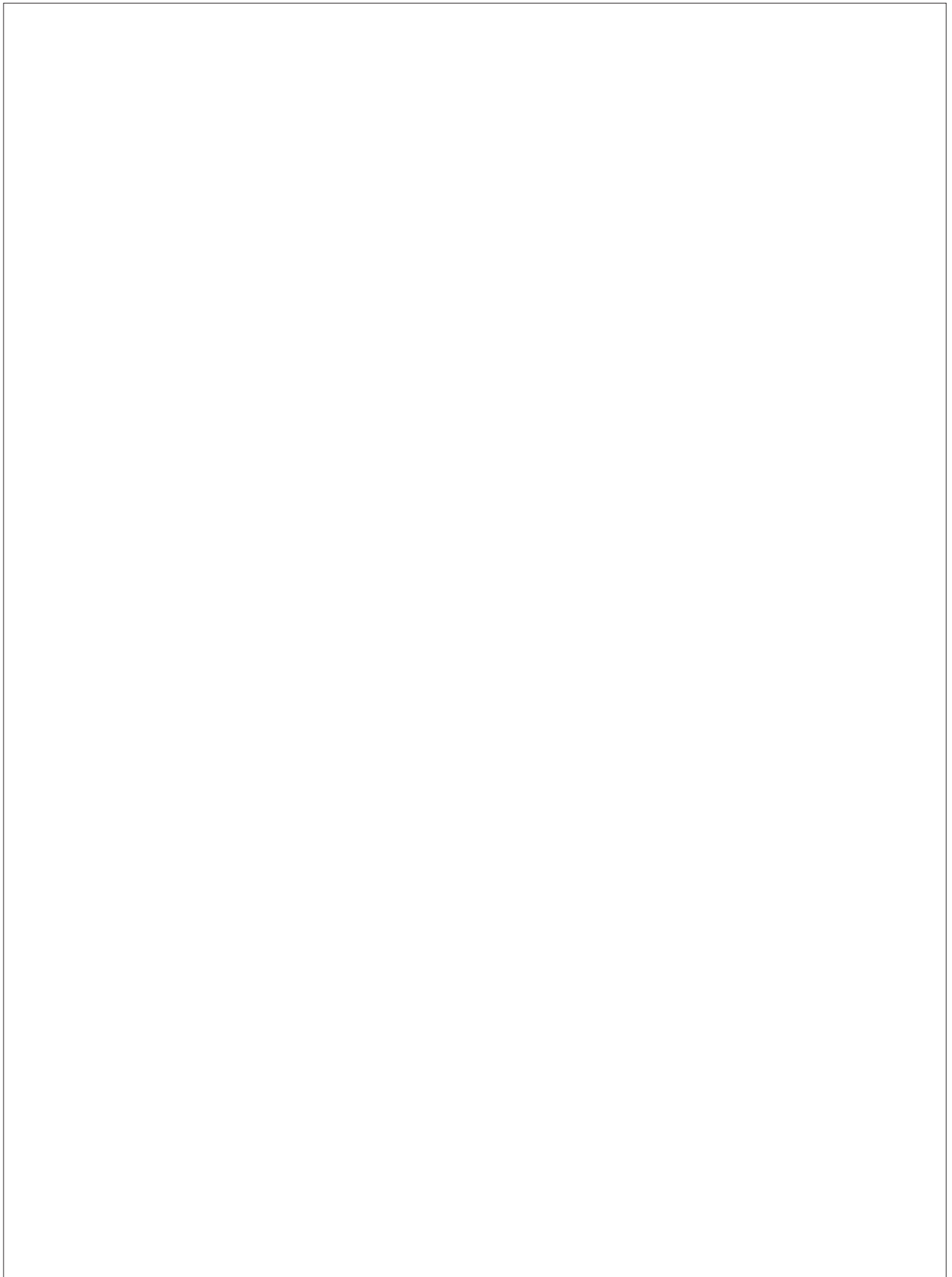
Email: BMI.dealing@JTCTGroup.com.

Brooks Macdonald International Fund Managers Limited. Registered Office: Third Floor, No 1 Grenville Street, St. Helier, Jersey, Channel Islands, JE2 4UF. Brooks Macdonald International Multi Strategy Fund Limited is authorised by the Jersey Financial Services Commission under the Collective Investment Funds (Jersey) Law, 1988.

Legislation or regulations in your home country jurisdiction may prohibit you from entering into such a transaction with us. We reserve the right to make the final determination on whether you are eligible for any products or services.



## Notes Section



# Direct Debit Instructions (for Regular Savings Plan in sterling only)

## Instructions to your Bank or Building Society to pay Direct Debits

Please fill in the whole form and send it to: The Administrator, PO Box 12984, Dunmow, CM6 9DQ

Originator's Identification Number

7 7 0 0 8 1

### 1. Name and full postal address of your Bank or Building Society branch

To: The Manager  
Bank or Building Society

Address

### 2. Name(s) of the Account Holders

Account Holder 1

Account Holder 2

Account Holder 3

Account Holder 4

### 3. Branch Sort Code

(from the top right corner of your cheque)

 -  - 

### 4. Bank or Building Society Account Number

Account Number

### 5. Reference Number

(Official use Only)

### 6. Instructions to your Bank or Building Society

Please pay Brooks Macdonald International Fund Managers Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit guarantee.

(Official use Only)

Signature(s)

(please sign in black ink if possible)

Date

Signature Joint holder (if applicable)

Date

## Direct Debit Instructions (continued) (for Regular Savings Plan in sterling only)

### **Banks and Building Societies may not accept Direct Debit Instructions for some types of account.**

#### The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Brooks Macdonald International Fund Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Brooks Macdonald International Fund Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Brooks Macdonald International Fund Managers Limited or your bank or building society, you are entitled to a full and immediate refund paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Brooks Macdonald International Fund Managers Limited asks you to.
- You can cancel a Direct Debit at any time by writing to your bank or building society. Written confirmation may be required. Please also notify us.



## Standing Order Instructions (for Regular Savings Plan in US dollar only)

### Standing Order Form for US Dollar Savings (\$)

Applicants should complete this form and return it to their representative with their completed application form

Name of your Bank

Address

Please transfer to

Lloyds Bank International 30 - 16 - 63

For the credit of

Brooks Macdonald International Fund Managers Limited clients account

**Euro account number 51091360**

**IBAN number GB78LOYD30166351091360**

Payments must be in US dollar (\$)

An initial payment of

Date of first payment\*

\*Applications received after the 8th of the month will commence payments on the 22nd of the following month.

Followed by subsequent payments as specified below.

**US Dollar Fund Class (A Class)**

Total Monthly Standing Order  
in the US\$ Growth Strategy

US\$

**(B Class)**

Total Monthly Standing Order  
in the US\$ Growth Strategy

US\$

#### Office Use Only

Transaction reference

## Standing Order Instructions (continued) (for Regular Savings Plan in US dollar only)

To be deducted monthly on the 22nd of each month until further notice. From my/our account

Account name

Account Number

Sort Code    -    -

**Brooks Macdonald International Fund Managers must be informed if changes are made to payment amounts and/or currencies. Failure to notify the Manager may cause delay in processing payments and we will process deals at our discretion.**

Signature(s)  
(please sign in black ink if possible)

Date

Signature Joint holder (if applicable)

Date