

**UCITS**  
**TEMPLATE ACCOUNT OPENING AND APPLICATION FORM**

**Cape Capital SICAV-UCITS** *Société d'Investissement à Capital Variable* (SICAV) under Luxembourg Law

**Subfunds:**

**Cape Capital SICAV-UCITS – Cape Fixed Income Fund**

**Cape Capital SICAV-UCITS – Cape Equity Fund**

**Cape Capital SICAV-UCITS – Cape Optimal Equity Fund**

**Cape Capital SICAV-UCITS – Cape Select Bond Fund**

**Cape Capital SICAV-UCITS - Cape G7 Constant Duration Fund**

**ACCOUNT OPENING AND APPLICATION FORM**

Investors willing to subscribe for shares of **Cape Capital SICAV-UCITS – Cape Fixed Income, Cape Capital SICAV-UCITS – Cape Equity Fund Fund, Cape Capital SICAV-UCITS – Cape Optimal Equity Fund, Cape Capital SICAV-UCITS – Cape Select Bond Fund and Cape Capital SICAV-UCITS - Cape G7 Constant Duration Fund** (the "**Subfunds**"), Subfunds of **Cape Capital SICAV-UCITS** (the "**Fund**"), a *société d'investissement à capital variable* incorporated as a public limited liability company (*société anonyme*) / *fonds commun de placement*] subject to the provisions of Part I of the Luxembourg law dated 17 December 2010 relating to undertakings for collective investment funds, as may be amended from time to time (the "**2010 Law**"), for which Credit Suisse Fund Services (Luxembourg) S.A. serves as central administration (the "**Administrator**"), must complete this account opening and application form ("**Application Form**"). For any question please contact the Credit Suisse Fund Services (Luxembourg) S.A. Investor Services Desk (contact details below).

The completed Application Form and accompanying documentation that are outlined in Sections "FATCA" and "CRS Self-Certification" and in Appendix 1 to this Application Form must be sent via post directly to the Administrator at the following address:

**Credit Suisse Fund Services (Luxembourg) S.A.**

Investor Services Desk

Email: [lst.amluxclientservice@credit-suisse.com](mailto:lst.amluxclientservice@credit-suisse.com)

Telephone: +352 43 61 61 208/621

Office Address: 5, rue Jean Monnet

L-2180 Luxembourg

Mailing Address: P.O. Box 369

L-2013 Luxembourg

The Application Form and accompanying documentation may also be accepted by fax or e-mail, provided that the originals are forwarded by post.

**Fax: +352 42 38 86**

Please note the Application Form is for purposes of opening a registered account with the Fund in order to provide the basis for the subsequent transactions for which the relevant transaction form or another agreed format shall be used. This Application Form (as completed by the Applicant) can be used for the purpose of opening other registered accounts with the Fund. The provisions of this Application Form (including the appendices) will apply to all registered accounts opened by the Applicant with the Fund. The initial subscription for shares in the Fund may be submitted by completing the Section "Subscription Details", but that section is optional.

Unless the context otherwise requires, capitalised terms used without definition shall have the meaning given to them in the latest placement memorandum or sales prospectus of the Fund (whatever term is used for the Fund's offering document, the "**Prospectus**"). Any references to the Fund herein shall be references to the board of directors of the Fund or, where appropriate, to the Funds' management company (the "**Management Company**") or to the Administrator acting on behalf of the Fund.

The Application Form should be read in conjunction with the Prospectus of the Fund supplemented by the relevant country specific annexes (if any), the Fund's [articles of incorporation/management regulations], and, if your account is served in an EU/EEA country where the key investor information document ("KIID") is a mandatory document, with the up-to-date version of the relevant KIID. These documents can be found on [www.credit-suisse.com](http://www.credit-suisse.com).

Please note the Fund and its service providers will hold and process your personal information in accordance with the applicable data protection regulations. Further information is available in the Data Protection Notice attached to this Application Form (the "Data Protection Notice"). Where the Applicant is a financial institution, acting in its capacity as financial intermediary on behalf of one or more investors, or where the Applicant is a corporate or legal entity investor, the Applicant confirms to have provided each beneficial owner (being a natural person) of the Applicant with the Data Protection Notice to the extent that the financial institution/ corporate or legal entity investor has provided the Fund with personal data of such beneficial owner/ natural person.

**By signing this Application Form you confirm that you have read and acknowledge the Data Protection Notice.**

The validity, construction and performance of the Application Form and any contractual or non-contractual obligations arising out of or in connection with it are governed by and construed in accordance with the laws of the Grand Duchy of Luxembourg. Any dispute including a dispute relating to non-contractual obligations arising out of the Application Form will be submitted exclusively to the courts of the District of Luxembourg-City.

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## Registration Details

Please complete this Section in BLOCK CAPITALS.

Name (the "Applicant" or "We")	_____
Account designation (if different from Applicant name)	_____
Type of Investor (company, partnership, trust, other entity)	_____
Registration number	_____
Registered address	_____
Street / Number	_____
Post Code / City	_____
Country	_____
Mailing address (if different from Reg. Address)	_____ _____
Nature of business	_____
Contact person/ Department	_____
Telephone number	_____
Fax number	_____
Email address	_____

Please refer to the Appendix 1 and the Investor Services Desk for the identification documents to be provided according to the [shareholder/unitholder] identification procedure. Credit Suisse Fund Services (Luxembourg) S.A. reserves the right to request additional information/documents required for anti-money laundering compliance purposes and to retain any redemption proceeds if, exceptionally, the identification process could not be completed before.

### We declare that:

- We are subscribing for shares in the Fund on our own behalf and we are the ultimate beneficial owner of this investment and any subsequent income generated.
- We are subscribing for shares in the Fund on behalf of (an)other person(s) who [is/are] the ultimate beneficial owner(s) of this investment and any subsequent income generated.

Where the Applicant is subscribing for shares in the Fund on behalf of (an)other person(s), the Applicant confirms that he is acting as:

- Distributor of the Fund
- Sub-distributor of the Fund
- Custodian acting on behalf of underlying clients
- Others (*please specify*):

Where the Applicant is subscribing for shares in the Fund on behalf of (an)other person(s), the Applicant further represents and warrants that: **(i)** he has full power and authority to subscribe for shares in the Fund, including that he has been duly authorised

to do so by a power of attorney or other written authority; and **(ii)** he has no reason to believe that such (an)other person(s) will not be able to perform any settlement obligation in relation to such subscription; and **(iii)** he has obtained and recorded evidence of the identity of such (an)other person(s) or any underlying principal of such(an)other person(s). The Applicant agrees that he will be liable to the Administrator, the Fund and the Depositary, as applicable, jointly and severally with his principal in respect of all obligations and liabilities arising from such subscription for shares in the Fund. The Applicant acknowledges and agrees that such liability extends to the initial subscription and any subsequent transactions (e.g. additional subscriptions, redemptions, transfers) he may submit to the Fund for the Account as designated in the Registration Details as well as for other Accounts opened by the Applicant with this Fund. The Applicant agrees to provide the Administrator, the Fund and the Depositary, as applicable, with written insurance that he has obtained and recorded the identity of any person on whose behalf he is acting or any underlying principal of such person and to provide the Administrator, the Fund and the Depositary, as applicable, with information, documentation and written confirmations in relation to such person as the Administrator, the Fund and the Depositary, as applicable, reasonably requires to allow it to comply with applicable rules and regulations and, in particular, with applicable anti-money laundering and counterterrorism regulations.

Where the Applicant is not a "financial institution" within the meaning of article 2(2) or 3-3(1) of the Luxembourg law of 12 November 2004 on the fight against money laundering and terrorist financing, as amended, the Applicant, and the beneficial owner of the Applicant shall complete and provide the Administrator with the relevant beneficial owner form and investor profile form relating to non-financial institutions as attached in Appendix 1.

### **Electronic Reporting**

Please complete and notify the relevant fax numbers and email addresses for the non-encrypted electronic receipt of statements and other reports that may be issued from time to time by the Administrator. If agreed that other additional email addresses than the below-mentioned shall be used, please notify us these additional email address(es). If you choose not to opt for the electronic receipt of statements and other reports, all these statements and other reports will be sent by post or Swift.

By ticking this box, we hereby agree to the non-encrypted electronic receipt by fax, email or other electronic similar means of monthly account statements of our position in the register of the Fund and other contract notes, confirmations and transaction reports that may be issued from time to time by the Administrator. We understand and fully acknowledge that non-encrypted facsimile and email are not secure communication means and recognise and fully accept the associated risks pertaining to the provision of the statements and reports by fax and email including, without limitation, the risks of non-receipt or delay in the receipt and the loss of confidentiality. We also recognise and fully accept that there are other risks inherent in communication by emails and other similar electronic methods through the Internet, such as the possibility of virus contamination and disruption in service.

Statements of holdings (only email)\*:

Contract notes (subscriptions/redemptions):

Email\*: \_\_\_\_\_ or Fax : \_\_\_\_\_

Contract notes (transfers):

Email\*: \_\_\_\_\_ or Fax : \_\_\_\_\_

Confirmations (dividends):

Email\*: \_\_\_\_\_ or Fax : \_\_\_\_\_

Confirmations (corporate actions):

Email\*: \_\_\_\_\_ or Fax : \_\_\_\_\_

Other:

Email\*: \_\_\_\_\_ or Fax : \_\_\_\_\_

\*Please note that reports to private persons will, in principle, not be sent by email

## Subscription Details and Acknowledgements\*

\*This section is **optional**, to the extent that the Application Form is used to place the initial subscription.

Please use the English notation using the comma as thousand-separator when expressing figures (e.g. 1,000,000.00 for one million). You will find the full list of class(es) of shares currently available in the Prospectus of the Fund.

We hereby irrevocably subscribe such amount as set out below in the following class(es) of shares in the Fund<sup>1</sup>:

Subfund Class	Isin	Currency	Amount	Number of shares
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional B EUR	LU1200252796	EUR		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional B CHF	LU1200252952	CHF		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional B USD	LU1200253257	USD		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional B GBP	LU1200253414	GBP		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Internal A EUR	LU1200253687	EUR		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Internal A CHF	LU1200253760	CHF		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Internal A USD	LU1200254065	USD		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Internal A GBP	LU1200254222	GBP		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Retail A EUR	LU1635380246	EUR		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Retail A CHF	LU1635380592	CHF		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Retail A USD	LU1635380675	USD		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Retail A GBP	LU1635380758	GBP		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional A EUR	LU1635379743	EUR		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional A CHF	LU1635379826	CHF		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional A USD	LU1635380089	USD		
Cape Capital SICAV-UCITS – Cape Fixed Income Fund Institutional A GBP	LU1635380162	GBP		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional B EUR	LU1200254495	EUR		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional B CHF	LU1200254651	CHF		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional B USD	LU1200254909	USD		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional B GBP	LU1200255039	GBP		
Cape Capital SICAV-UCITS – Cape Equity Fund Internal A EUR	LU1200255203	EUR		
Cape Capital SICAV-UCITS – Cape Equity Fund Internal A CHF	LU1200255385	CHF		
Cape Capital SICAV-UCITS – Cape Equity Fund Internal A USD	LU1200255625	USD		
Cape Capital SICAV-UCITS – Cape Equity Fund Internal A GBP	LU1200255971	GBP		
Cape Capital SICAV-UCITS – Cape Equity Fund Retail A EUR	LU1635381210	EUR		
Cape Capital SICAV-UCITS – Cape Equity Fund Retail A CHF	LU1635381301	CHF		
Cape Capital SICAV-UCITS – Cape Equity Fund Retail A USD	LU1635381483	USD		
Cape Capital SICAV-UCITS – Cape Equity Fund Retail A GBP	LU1635381566	GBP		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional A EUR	LU1635380832	EUR		

<sup>1</sup> Please insert name of Fund, class, currency and investment amount or number of [shares/units] subscribed for.

Cape Capital SICAV-UCITS – Cape Equity Fund Institutional A CHF	LU1635380915	CHF		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional A USD	LU1635381053	USD		
Cape Capital SICAV-UCITS – Cape Equity Fund Institutional A GBP	LU1635381137	GBP		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional B EUR	LU1200256193	EUR		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional B CHF	LU1200256359	CHF		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional B USD	LU1200256607	USD		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional B GBP	LU1200256789	GBP		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Internal A EUR	LU1200256946	EUR		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Internal A CHF	LU1200257084	CHF		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Internal A USD	LU1200257324	USD		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Internal A GBP	LU1200257670	GBP		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Retail A EUR	LU1635382291	EUR		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Retail A CHF	LU1635382374	CHF		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Retail A USD	LU1635382457	USD		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Retail A GBP	LU1635382531	GBP		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional A EUR	LU1635381640	EUR		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional A CHF	LU1635381723	CHF		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional A USD	LU1635381996	USD		
Cape Capital SICAV-UCITS – Cape Optimal Equity Fund Institutional A GBP	LU1635382028	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A EUR Accumulating	LU1968841145	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A USD Accumulating	LU1968841228	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A CHF Accumulating	LU1968841491	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A GBP Accumulating	LU1968841574	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A EUR Distributing	LU1968841657	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A USD Distributing	LU1968841731	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A CHF Distributing	LU1968841814	CHF		

Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional A GBP Distributing	LU1968841905	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B EUR Accumulating	LU1968842036	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B USD Accumulating	LU1968842119	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B CHF Accumulating	LU1968842200	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B GBP Accumulating	LU1968842382	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B EUR Distributing	LU1968842465	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B USD Distributing	LU1968842549	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B CHF Distributing	LU1968842622	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Institutional B GBP Distributing	LU1968842895	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A EUR Accumulating	LU1968842978	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A USD Accumulating	LU1968843190	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A CHF Accumulating	LU1968843273	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A GBP Accumulating	LU1968843356	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A EUR Distributing	LU1968843430	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A USD Distributing	LU1968843513	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A CHF Distributing	LU1968843604	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Internal A GBP Distributing	LU1968843786	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A EUR Accumulating	LU1968843869	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A USD Accumulating	LU1968843943	USD		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A CHF Accumulating	LU1968844164	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A GBP Accumulating	LU1968844248	GBP		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A EUR Distributing	LU1968844321	EUR		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A USD Distributing	LU1968844594	USD		

Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A CHF Distributing	LU1968844677	CHF		
Cape Capital SICAV-UCITS – Cape Select Bond Fund Retail A GBP Distributing	LU1968844750	GBP		
Cape Capital SICAV-UCITS –Cape G7 Constant Duration Fund Institutional A EUR Accumulating	LU1968837549	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A USD Accumulating	LU1968837622	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A CHF Accumulating	LU1968837895	CHF		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A GBP Accumulating	LU1968837978	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A EUR Distributing	LU1968838190	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A USD Distributing	LU1968838273	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A CHF Distributing	LU1968838356	CHF		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional A GBP Distributing	LU1968838430	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional B EUR Accumulating	LU1968838513	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional B USD Accumulating	LU1968838604	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional B CHF Accumulating	LU1968838786	CHF		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional B GBP Accumulating	LU1968838869	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund I Institutional B EUR Distributing	LU1968838943	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund I Institutional B USD Distributing	LU1968839081	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Institutional B CHF Distributing	LU1968839164	CHF		
Cape Capital SICAV-UCITS Cape G7 Constant Duration Fund Institutional B GBP Distributing	LU1968839248	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Internal A EUR Accumulating	LU1968839321	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Internal A USD Accumulating	LU1968839594	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Internal A CHF Accumulating	LU1968839750	CHF		
Cape Capital SICAV-UCITS Cape G7 Constant Duration Fund Internal A GBP Accumulating	LU1968839834	GBP		
Cape Capital SICAV-UCITS Cape G7 Constant Duration Fund Internal A EUR Distributing	LU1968839917	EUR		



Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Internal A USD Distributing	LU1968840097	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Internal A CHF Distributing	LU1968840170	CHF		
Cape Capital SICAV-UCITS Cape G7 Constant Duration Fund Internal A GBP Distributing	LU1968840253	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A EUR Accumulating	LU1968840337	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A USD Accumulating	LU1968840410	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A CHF Accumulating	LU1968840501	CHF		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A GBP Accumulating	LU1968840683	GBP		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A EUR Distributing	LU1968840766	EUR		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A USD Distributing	LU1968840840	USD		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A CHF Distributing	LU1968840923	CHF		
Cape Capital SICAV-UCITS – Cape G7 Constant Duration Fund Retail A GBP Distributing	LU1968841061	GBP		

We acknowledge and agree that:

- (a) This subscription is irrevocable and will be legally binding when it is signed by us and the subscription is accepted by the Fund and/or its Management Company and/or the Administrator;
- (b) This subscription may be accepted or rejected by the Fund and/or its Management Company and/or the Administrator in its sole and absolute discretion and that if this Application Form is rejected, then it shall have no force or effect;
- (c) We are aware of and will comply with the particular characteristics of the classes of shares in the Fund, such as but not limited to the minimum subscription amount and the minimum subsequent subscription amount for the different classes that are set out in the Prospectus and the relevant KIID(s);
- (d) We are aware of and will comply with any specific restrictions or features related to the type of shareholders that are allowed to invest in any of the classes of [shares/units] in the Fund as listed above, as set out in the Prospectus;
- (e) Where we are acting on behalf of (an)other person(s), we undertake to subscribe for classes of shares in the Fund only for this/those person(s) who meet(s) any such restrictions as set out in the Prospectus for such classes of shares.

## Payment Instructions and Issue of shares

Payment in respect of each class must be made in the relevant currency of the relevant class by electronic bank transfer to the relevant account as referred to in the Section "Credit Suisse TA Subscription Collection Account Settlement Instruction" as set out at the bottom of the Application Form.

If timely settlement, as detailed in the Prospectus and the relevant KIID(s), is not made, an application may lapse and be cancelled at the Applicant's cost. Failure to make good settlement by the settlement date may result in the Fund and/or its Management Company and/or the Administrator exercising any of the remedies as set out in the constitutive documents of the Fund and the Prospectus.

## Bank Account Details

Please complete this Section in BLOCK CAPITALS with your bank account details from which subscription monies will be paid and to which redemption proceeds and other sale proceeds and dividends (if any) will be sent. Payments will be made by wire transfer in your chosen currency as indicated below. If additional accounts

for other currencies are used, please attach a separate list showing the same details as mentioned below. Wire transfers may be subject to usual banking fees.  
**Important Note:** No third party payments are accepted or made. If this section is not completed payments to the Applicant may be delayed.

Bank name \_\_\_\_\_  
Address \_\_\_\_\_  
Account name \_\_\_\_\_  
Account number \_\_\_\_\_  
Sort code / IBAN code \_\_\_\_\_  
Swift code \_\_\_\_\_  
ABA number (if applicable) \_\_\_\_\_  
Currency                    EUR       USD       CHF       GBP  Other : \_\_\_\_\_

### **Dealing Methods**

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**Important Note:** The Applicant, as well as the individual(s) it has appointed to deal on its account, and in particular to sign and provide instructions in relation to transactions on the shares in the Fund on its behalf ("Authorized Dealers"), may give instructions to the Administrator, and as applicable to the Fund, and/or its Management Company at its own risk by fax or other electronic similar means. Please also read the Section "Instruction Authority" of this Application Form.

Please tick the method(s) in which the Applicant's Authorized Dealers will be dealing on the account:

Swift                     Post                     Fax

Fax and email are subject to a separate fax or email agreement. If you choose not to instruct by fax or email, all your instructions must be sent by post or Swift.

### **Dividend Policy**

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Dividends will be paid out in cash to your bank account. Should you wish dividends to be re-invested, please tick the box:

Re-invested

In case of re-investment, the dividends will be re-invested into the corresponding classes of shares in the Fund at the prevailing issue price.

### **Instruction Authority**

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The Applicant may give instructions at his own risk either by fax, e-mail or other electronic similar means. Any authorization of instruction method shall remain in force until notice in writing of its termination is received by the Administrator.

The authority for fax and such other electronic means does not apply to notifications of change of name and other basic changes in the relationship where original documentation must be sent by post to the Administrator. The Applicant agrees that phone conversations may be recorded and that records may be used in court or other legal proceedings as evidence.

### **Information Sharing**

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The Applicant acknowledges that the Fund is managed by a Management Company which is part of a group of companies controlled by Credit Suisse Group Ltd. ("Affiliated Companies") and that employees of Affiliated Companies necessarily work closely together to ensure that the Applicant benefits from all the relevant expertise within the Credit Suisse Group with a view to maintain, monitor and improve the Applicant's relationship with the Fund and Credit Suisse group. The Applicant also acknowledges that the Fund and the Management Company work closely together with their delegates and service providers who intervene in the management of the Fund ("Service Providers"). Accordingly, by subscribing in the Fund, the Applicant agrees that the information supplied by it to the Fund and the Management Company may be shared with their respective Service Providers as well as with Affiliated Companies worldwide, including without limitation for the purposes as disclosed by the Fund in the Data Protection Notice.

## FATCA

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Capitalized terms used in this section should have the meaning as set forth in the Luxembourg amended law dated 24 July 2015 (the "FATCA Law"), unless provided otherwise herein.

On 28 March 2014, the Grand-Duchy of Luxembourg entered into a Model 1 Intergovernmental Agreement ("IGA") with the United States of America and a memorandum of understanding in respect thereof relating to the Foreign Account Tax Compliance provisions of the US tax code, commonly referred to as "FATCA". Under the IGA, the Fund may be required to collect information aiming to identify its direct and indirect investors that are specified US Persons for FATCA purposes ("reportable accounts"). Any such information on reportable accounts provided to the Fund will be shared with the Luxembourg tax authorities which will exchange that information on an automatic basis with the Government of the United States of America pursuant to Article 28 of the convention between the Government of the United States of America and the Government of the Grand-Duchy of Luxembourg for the Avoidance of Double Taxation and the Prevention of Fiscal Evasion with respect to Taxes in Income and Capital, entered into in Luxembourg on 3 April 1996. The Fund intends to comply with the provisions of the Luxembourg IGA to be deemed compliant with FATCA and will thus not be subject to the 30% withholding tax with respect to its units of any such payments attributable to actual and deemed U.S. investments of the Fund.

In accordance with the FATCA Law, Luxembourg Financial Institutions ("FI") are required to report to the Luxembourg tax authority (i.e. Administration des Contributions Directes, the "Luxembourg Tax Authority") information regarding reportable persons such as defined in the FATCA Law.

Reference is made to the FATCA and US Person relevant section of the Prospectus.

As of the date of this Application Form, the Fund is considered a sponsored entity and as such as a non-reporting Luxembourg financial institution and shall be treated as deemed compliant foreign FI as foreseen by FATCA. The Fund may decide to opt for another status under FATCA in the future.

Applicants are required to provide a declaration form to certify their status under FATCA.

The declaration should be provided by completing the relevant US tax forms and supporting documents where applicable, or by providing a certification acceptable to the Fund and the Administration, which reasonably demonstrates the Applicant's FATCA classification and Applicant's GIIN (US Global Intermediary Identification Number), if applicable.

You may find below a link to the latest US tax forms that might be of relevance to you:

<http://www.irs.gov/pub/irs-pdf/fw8bene.pdf>

<http://www.irs.gov/pub/irs-pdf/fw8imy.pdf>

<http://www.irs.gov/pub/irs-pdf/fw8exp.pdf>

<http://www.irs.gov/pub/irs-pdf/fw9.pdf>

If any of the information provided about Applicant's tax residency or FATCA classification changes in the future, you must ensure that the Fund and the Administration is promptly advised of these changes.

If you have any questions about your classifications under FATCA, you should contact your tax advisor.

The Applicants undertake to inform the Administrator within thirty (30) days of receipt of these statements should any included FATCA Personal Data (as defined in the Data Protection Notice) not be accurate and/or need to be rectified. Should the Applicants fail to inform the Fund of such inaccuracies and/or need for rectification within this thirty (30) days period, the statements shall be deemed accepted by the Applicants.

The Applicants further undertake to inform the Fund within thirty (30) days of, and provide the Fund with all supporting documentary evidence of any changes related to the FATCA Personal Data after occurrence of such changes.

Should the Fund and/or the Administrator become aware of any change of the information provided in the Application Form that would be considered a change of circumstance in terms of FATCA (e.g. change of the Applicant's tax residency or FATCA classification), the information about Applicants' account(s) may be provided to the Luxembourg Tax Authority on an annual basis if a valid and complete self-certification form, reflecting the change of circumstance, is not received from each Applicant within thirty (30) days of first requesting the Applicant to complete it

The Fund's ability to satisfy its reporting obligations under the FATCA Law will depend on each Applicant providing the Fund with the FATCA Personal Data, including information regarding direct or indirect owners of each Applicant, along with the required supporting documentary evidence. Upon request of the Fund, each Applicant must provide the Fund with such information. Failure to do so within the prescribed timeframe may trigger a notification of the account to the Luxembourg Tax Authority.

Although the Fund will attempt to satisfy any obligation imposed on it to avoid any taxes or penalties imposed by the FATCA Law, no assurance can be given that the Fund will be able to satisfy these obligations. If the Fund becomes subject to a tax or penalty as result of the FATCA Law, the value of the shares may suffer material losses.

Any Applicant that fails to comply with the Fund's documentation requests may be charged with any taxes and penalties of the FATCA Law imposed on the Fund (*inter alia*: a fine of up to 250.000 euros or a fine of up to 0,5 per cent of the amounts that should have been reported and which may not be less than 1.500 euros) attributable to such Applicant's failure to provide the information and the Fund may, in its sole discretion, redeem the shares of such Applicant.

### **CRS self-certification**

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The Fund may be subject to the Standard for Automatic Exchange of Financial Account Information in Tax matters (the "Standard") and its Common Reporting Standard (the "CRS") as set out in the law implementing the CRS in Luxembourg (the "CRS Law").

Capitalized terms used in this section should have the meaning as set forth in the CRS Law, unless provided otherwise herein.

Under the terms of the CRS Law, the Fund is generally treated as a Luxembourg Reporting Financial Institution (Institution financière déclarante), unless e.g. it qualifies as an Exempt Collective Investment Vehicle ("organisme de placement collectif dispensé") within the meaning of the CRS Law.

A Reporting Financial Institution, as of 30 June 2017 and without prejudice to other applicable data protection provisions as set out in the Fund documentation, will be required to annually report to the Luxembourg Tax Authority: the "CRS Personal Data" (as defined in the Data Protection Notice).

As of the date of this Application Form, the Fund intends to qualify as a Luxembourg Reporting Financial Institution ("Institution financière déclarante") as per the CRS Law. The Fund may decide to opt for another status under the CRS Law in the future. The Fund's ability to satisfy its reporting obligations under the CRS Law will depend on each Applicant providing the Fund with the CRS Personal Data, including information regarding direct or indirect owners of the Applicant, along with the required supporting documentary evidence. In this context, the investors are hereby informed that, as data controller, the Fund will process the CRS Personal Data for the purposes as set out in the CRS Law. The investors undertake to inform their Controlling Persons, if applicable, of the processing of their Information by the Fund. Upon request of the Fund, each Applicant must provide the Fund with such information. Failure to do so within the prescribed timeframe may trigger a notification of the account to the Luxembourg Tax Authority.

The Applicants are further informed that the CRS Personal Data related to Reportable Persons within the meaning of the CRS Law will be disclosed to the Luxembourg Tax Authority annually for the purposes set out in the CRS Law. The personal data may be disclosed by the Luxembourg Tax Authority, under its own responsibility to foreign tax authorities.

In particular, Reportable Persons are informed that certain operations performed by them will be reported to them through the issuance of statements, and that part of this information will serve as a basis for the annual disclosure to the Luxembourg Tax Authority.

In this regard, the Applicants undertake to inform the Fund within thirty (30) days of receipt of these statements should any included CRS Personal Data be not accurate and/or need to be rectified. Should the Applicants fail to inform the Fund of such inaccuracies and/or need for rectification within this thirty (30) days period, the statements shall be deemed accepted by the Applicants.

The Applicants further undertake to inform the Fund within thirty (30) days of, and provide the Fund with all supporting documentary evidence of any changes related to the CRS Personal Data after occurrence of such changes.

Should the Fund and/or the Administrator become aware of any change of the information provided in the Subscription Form that would be considered a change of circumstances in terms of CRS, the information about Applicant's account(s) may be provided to the Luxembourg Tax Authority on an annual basis if a valid and complete self-certification form, reflecting the change of circumstance, is not received from each Applicant within thirty (30) days of first requesting the Applicant to complete it.

Although the Fund will attempt to satisfy any obligation imposed on it to avoid any taxes or penalties imposed by the CRS Law, no assurance can be given that the Fund will be able to satisfy these obligations. If the Fund becomes subject to a tax or penalty as result of the CRS Law, the value of the shares may suffer material losses.

Any Applicant that fails to comply with the Fund's documentation requests may be charged with any taxes and penalties of the CRS Law imposed on the Fund (*inter alia*: a fine of up to 250.000 euros or a fine of up to 0,5 per cent of the amounts that should have been reported and which may not be less than 1.500 euros) attributable to such Applicant's failure to provide the CRS Personal Data or subject to disclosure of the Information by the Fund to the Luxembourg Tax Authority, and the Fund may, in its sole discretion, redeem the shares of such Applicant.

In this respect, the relevant information needs to be provided through completing the CRS Form (separate document provided together with this application form) and providing the executed form to the Administrator in order to comply with the legislation mentioned above.

If you have any questions about your classifications under the CRS Law, you should contact your tax advisor.

## Declarations & Signatures

In signing this Application Form, please ensure you are able to make the below declarations. **Important Note:** The right is reserved to the Fund and/or the Management Company and/or the Administrator to reject this Application Form in whole or in part.

By signing this form, we acknowledge that we are contractually bound by the terms of this Application Form as well as by the terms of the Prospectus and the constitutive documents of the Fund. Furthermore, we hereby declare, represent and warrant as follows<sup>2</sup>:

- a) We confirm that we are duly authorised and qualified to become a [shareholder/unitholder] in, and that we have full power and authority and are duly authorised to undertake to subscribe and subscribe for the selected class(es) of shares in the Fund and to enter into any subsequent transaction, and that the individual or individuals signing this Application Form and giving the declarations, warranties and representations below, as the case may be, on our behalf have been duly authorised by us to do so and this Application Form is our legal, valid and binding obligation, enforceable against us in accordance with its terms.
- b) We confirm that we understand and accept that this application is made on the basis and subject to the latest Prospectus as supplemented by the country specific annexes (if any), the relevant KIID(s), the constitutive documents and the financial reports of the Fund that we are willing to subscribe in and any other documents required under applicable laws and regulations. This application and any subsequent subscriptions and transactions are based solely on and subject to the information contained in these documents and we undertake to invest in accordance with and subject to the terms of these documents.
- c) We confirm having received, read and understood the Prospectus, the constitutive documents of the Fund and, if applicable in our jurisdiction, the relevant KIID(s), and in particular we are familiar with and understand the nature and scope of our rights and obligations as [shareholder/unitholder] holding the selected class(es) of shares in the Fund, the investment objectives and policy(ies) of the Fund, the specific risk factors of and the charges applicable to the Fund, as set forth in these documents.
- d) We confirm that the execution of this Application Form and acceptance of our subscription do not and will not violate any law, regulation, ordinance, charter, by-law, article of association or rule applicable to us or any agreement by which we are bound or by which any of our assets are affected.
- e) We have such knowledge and experience in financial and business matters as to be capable of evaluating the merits of, and we are able to bear the economic risk, including a complete loss of, investment in the Fund and the selected class(es) of shares and have consulted with our own tax and legal counsel and our other financial advisors to the extent we have deemed necessary.
- f) We undertake to send the subscription monies in the correct currency to the bank detailed in the Section "Credit Suisse TA Subscription Collection Account Settlement Instruction". Any necessary currency transactions will be effected at our cost.
- g) We undertake not to engage in any activities which may adversely affect the interests of the Fund's [shareholders/unitholders] and we acknowledge that if the Fund or the Management Company and/or the Administrator determines or suspects that we have engaged in such activities, it may suspend, cancel, reject or otherwise deal with our application and take any action or measures as appropriate or necessary to protect the Fund and its [shareholders/unitholders]].
- h) We understand that (a) the shares have not been registered under the United States Securities Act of 1933, as amended (the "Securities Act"), (b) the Fund has not and will not be registered as an investment company under the U.S. Investment Company Act of 1940, as amended (the "ICA") and (c) Credit Suisse Fund Services (Luxembourg) S.A. is not registered and will not be registered as a Transfer Agent under the Securities Exchange Act of 1934, as amended. We are not a U.S. Person (as defined in the Prospectus) and we are not (i) a "United States person" as described in section 7701(a)(30) of the U.S. Internal Revenue Code of 1986, as amended (the "Code"), (ii) a "U.S. person" as such term is defined in Regulation S of the Securities Act of 1933, as amended, (iii) a person that is "in the United States" as defined in Rule 202(a)(30)-1 under the U.S. Investment Advisers Act of 1940, as amended, or (iv) a person that does not qualify as a "Non-United States Person" as such term is defined in U.S. Commodities Futures Trading Commission Rule 4.7. We are not acquiring any portion of the shares on behalf of a U.S. Person, nor acquiring any portion of the shares through a U.S. Person. We further confirm that we will not transfer any shares in the Fund to a U.S. Person. We will not hold, directly or indirectly, the shares for the account of or benefit with a U.S. Person; and we are not subscribing on behalf of or funding the shares with funds obtained from U.S. Persons. We are not a Prohibited Person (as defined in the Prospectus) and we are not acquiring Fund's shares on behalf of or for the benefit of a Prohibited Person. We further confirm that we

<sup>2</sup> Please consider adapting the declarations on a case-by-case basis with the specificities of the envisaged subscription.

will not transfer any shares in the Fund to a Prohibited Person. We undertake to notify the Fund and the Administrator immediately if the Applicant becomes a Prohibited Person at any time during which the Applicant holds or owns any shares.

- i) We acknowledge and agree to provide evidence to the Fund and to the Administrator, as applicable, which is required by any applicable laws and regulations relating to know your customer and anti-money laundering checks or to confirm the Applicant is not a Prohibited Person. The subscription for shares and any future transactions shall not be processed until such information is received.
- j) We understand and agree that (i) the Fund and the Administrator, may proceed to a compulsorily redemption of any shares held by any person excluded from the acquisition or ownership of such shares in the Fund (such as a Prohibited Person) and that (ii) any transfer or acquisition of shares in the Fund by a Prohibited Person, either alone or in conjunction with any other person, whether directly or indirectly, may lead to the potential compulsory redemption of the shares held by the Prohibited Person in the Fund. Furthermore we agree that the Fund and/or the Administrator may require us to provide them with any information that they may consider necessary for the purpose of determining whether or not such owner of shares in the Fund is or will be a Prohibited Person.
- k) We acknowledge that we are aware of the remedies available to the Fund and/or its Management Company in case of non-compliance with the special conditions for acquiring and maintaining the Fund shares classes as well as in the event of failure to meet any part of our payment obligations and other obligations as set forth in the Prospectus, the constitutive documents of the Fund and this Application Form when due, and are prepared to accept the exercise against us of such rights and remedies in the event of such non-compliance or failure. In particular, we are aware and undertake to submit application for subscription of any classes of shares in the Fund with the Administrator by the relevant date and cut-off time as set out in the Prospectus and acknowledge that any application received after the cut-off time on the relevant day as defined in the Prospectus will be processed as per the relevant provisions in the Prospectus.
- l) We agree to undertake to provide a list of individuals, including signature specimens, duly authorised to deal on our account, and in particular to sign and provide facsimile or electronic instructions in relation to transaction on the Fund shares on our behalf ("Authorized Dealers") and authorise the Fund and/or its Management Company and/or the Administrator to act and rely upon any facsimile or electronic instructions received in good faith from such Authorized Dealers without further inquiry until written notice of its termination is received and without liability in respect of any transfer, payment or other act made, done or omitted to be done in respect of our account in accordance with such facsimile or electronic instructions received in good faith by the Fund and/or its Management Company and/or the Administrator.
- m) We acknowledge and agree that the Administrator may not accept any Authorized Dealer (including any representatives, attorneys or agents of the Applicant) to have signatory authority on the account to the extent such persons are domiciled in the US. The Applicant or its agent, as applicable, acknowledges and agrees to provide the Administrator with a list of their Authorized Dealers which includes information on the nationality, domicile and date of birth of the Authorized Dealers.
- n) We agree to provide to the Fund and/or its Management Company and the Administrator such information as the Fund and/or its Management Company and the Administrator determine to be necessary or appropriate (i) to comply with the anti-money laundering laws, rules and regulations of any applicable jurisdiction and (ii) to respond to requests for information concerning the identity of investors from any governmental authority, self-regulatory organisation or financial institution in connection with its anti-money laundering compliance procedures, or to update such information.
- o) We understand that the information provided herein will be relied upon by the Fund and/or its Management Company and the Administrator for the purpose of determining our eligibility to subscribe for and hold shares in the Fund. To the fullest extent permitted under applicable law, we agree to indemnify and hold harmless the Fund and/or its Management Company and the Administrator and their affiliates, the officers, directors, direct and indirect shareholders, members, agents, partners and employees of each of the foregoing, from and against any loss, damage or liability due to or arising out of a breach of any representation, warranty or agreement of us contained in this Application Form.
- p) We agree that we will be solely responsible for complying with all the relevant legal, tax, and exchange control regulations in force in the applicable country of our citizenship, residence or domicile.
- q) We will not transfer, sell, deliver or otherwise dispose of all or any part of the shares in the Fund except in accordance with the restrictions set forth in the Prospectus and the constitutive documents of the Fund.
- r) We agree that any instructions given by fax, electronic or other means are at our risk.
- s) We agree to the non-encrypted electronic receipt of statements and other reports that may be issued from time to time by the Administrator and are aware that it cannot be fully ruled out that the information transmitted via facsimile, emails or

other similar electronic communication means may become accessible for third parties, and that the exchange of information can be delayed or interrupted due to transmission errors, technical faults, interruptions, malfunctions, illegal interventions, network overload, the malicious blocking of access by third parties, or other shortcomings on the part of the network provider.

- t) We declare having taken particular notice of the Sections "FATCA" and "CRS Self-certification" above and declare that we expressly acknowledge that the Fund and/or its Management Company and/or the Administrator may be obliged under local laws and regulations to collect and report to the Luxembourg competent tax authorities and the relevant foreign tax authorities certain information provided in this Application Form, such as but not limited to information to be provided for the purpose of compliance with FATCA and CRS law (as defined above).
- u) We confirm that the information set out above comprises our complete address as well as our banking references for the purpose of inclusion thereof in the register of [shareholders/unitholders] of the Fund. We confirm that the Fund and/or its Management Company and/or the Administrator may treat such information as accurate and up to date until notice to the contrary shall have been received in writing by it from us.
- v) We agree to inform the Fund and/or its Management Company and/or the Administrator promptly of any changes in our details (especially name, domicile address, contact, correspondence details, nationality/nationalities) as well as changes in the details of our Authorised Dealers, other authorized agents and representatives, beneficial owners, controlling owners, beneficiaries, and other persons involved in the relationship, as well as of any revocation of powers of attorney or signatory powers that we have granted. We understand and accept that there may be consequences including adverse consequences arising from our failure to provide prompt notification of the above as described in the Prospectus.
- w) The Investor warrants and declares that the funds that have been or will have been invested pursuant to this Application Form, have been or will have been properly declared monies and do not/did not represent directly or indirectly the proceeds of any criminal activity, including tax crimes, and that the investment is / was not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise. Further the Applicant confirms that (i) funds have not been and will not be invested for purposes of evading tax obligations and (ii) that the Applicant complies with its tax obligations in its country of residence and any other country where the Applicant has reporting obligations or has to pay taxes.

We have read and understood the content of this Application Form and confirm that the declarations, representations and the information set out in this Application Form are made in connection with our investment in the Fund and shall survive the execution and delivery of this Application Form, the issue of the shares in the Fund to us and our admission as [shareholder/unitholder] of the Fund.

Date \_\_\_\_\_ Authorised Signature(s) \_\_\_\_\_

Print name(s)<sup>3</sup>

<sup>3</sup> For legal entities, an authorised official whose representative capacity must be stated must sign the Application Form. Please provide evidence of this authorisation together with the Application Form.



## APPENDIX I

### Prevention of Money Laundering and Terrorist Financing

#### Identification Documents

In addition to this Application Form, the Applicant must provide to the Fund's Administrator the documentation as specified below by sending them via postal mail to:

**CREDIT SUISSE FUND SERVICES (LUXEMBOURG) S.A.**  
**INVESTOR SERVICES DESK**  
**EMAIL: [LIST.AMLUXCLIENTSERVICE@CREDIT-SUISSE.COM](mailto:LIST.AMLUXCLIENTSERVICE@CREDIT-SUISSE.COM)**  
**TELEPHONE: +352 43 61 61 208/621**  
**OFFICE ADDRESS: 5, RUE JEAN MONNET**  
**L-2180 LUXEMBOURG**  
**MAILING ADDRESS: P.O. BOX 369**  
**L-2013 LUXEMBOURG**

The documentation may also be accepted by fax or e-mail, provided that the wet-ink originals are forwarded by post.

**Fax: +352 42 38 86**

For any question please contact the Administrator's Investor Services Desk by phone (+352 43 61 61 208/621) or fax (see above).

Depending on the Applicant's capacity in relation to the subscription of shares] of the Fund, the following documents must be provided to the Administrator.

Pursuant to the Luxembourg rules and regulations on the fight against money laundering and financing of terrorism, obligations have been imposed on all banks and professionals of the financial sector to prevent the use of investment vehicles for money laundering purposes. Within this context a procedure for the identification of investors has been imposed, which requires the Applicant to provide certain information as outlined below:

- **If the Applicant is a (i) financial institution** acting on behalf of its investor(s) and licensed, based and regulated in a country which imposes equivalent requirements within the meaning of the Luxembourg law of 12 November 2004 on the fight against money laundering and terrorist financing, as amended, or **(ii) a listed company** on a recognised stock exchange, you should provide for a certified true copy of the current and dated list on company letterhead of authorized signatories, or an officially published booklet of authorized signatories, or a duly completed and signed Signature Card Form provided by the Administrator, the FATCA, CRS and other relevant tax declarations. The Administrator must require that the Applicant give evidence of its qualification as financial institution or listed company to justify that simplified customer due diligence measures can be applied. In that context, the Administrator will also ask for a representation letter and/or a completed Wolfsberg Questionnaire to confirm that equivalent measures are applied in the fight against money laundering and terrorist financing.
- **If the Applicant is a corporate or legal entity investor**, please provide for a certified true copy of the evidence of registration (e.g. excerpt of the trade register), a copy of the constituting documents of the corporate or legal entity (e.g. memorandum and articles of association), a certificate of good standing or similar, an authorised signature list (Signature Card Form provided by the Administrator), a copy of the latest financial statements, the FATCA declaration (see previous section) and relevant CRS tax residency declarations, and a list of directors including their identity data, function and residential address and a certified true copy of a valid identity card or passport of the directors and person(s) signing the application form. The representatives and the natural person who is/are the final beneficial owner(s)<sup>4</sup> of the corporate or legal entity must comply with the disclosure requirements set out below in the relevant Beneficial Owner and Investor Profile forms (if it is considered that ownership of the shares is sufficiently widespread among the public for the purposes of the applicable anti-money laundering procedures, evidence that this is the case may be supplied).

<sup>4</sup> According to the Luxembourg law of 12 November 2004 on the fight against money laundering and terrorist financing, as amended, "beneficial owner" means as any natural person who ultimately owns or controls the investor and/or any natural person on whose behalf a transaction or activity is being conducted. In the case of corporate entities, the beneficial owner shall at least include:

(a) in the case of corporate entities: (i) any natural person who ultimately owns or controls a legal entity through direct or indirect ownership or control over a sufficient percentage of the shares or voting rights in that legal entity, including through bearer share holdings, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Community legislation or subject to equivalent international standards (a percentage of more than 25% shall be deemed sufficient to meet this criterion); (ii) any natural person who otherwise exercises control over the management of a legal entity;

(b) in the case of legal entities, such as foundations and legal arrangements, such as trusts, which administer and distribute funds: (i) where the future beneficiaries have already been determined, any natural person who is the beneficiary of 25% or more of the property of a legal arrangement or entity; (ii) where the individuals that benefit from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (iii) any natural person who exercises control over 25% or more of the property of a legal arrangement or entity.

The Administrator reserves the right to request additional information/documents required for anti-money laundering compliance purposes and to refuse the subscription if the Applicant is not able to provide the details required or other necessary documents. Any information provided to the Administrator and the Fund in this context is collected for anti-money laundering compliance purposes only.

**Please consider the forms to be completed depending on the capacity of the Applicant as outlined below. The Administrator reserves the right to request additional information/documents required for tax, eligible investor status and anti-money laundering compliance purposes and to retain any redemption proceeds if exceptionally the identification process could not be completed before.**

Note on certifications:

- Independently certified means certified by name, date and signature as a true and complete copy of the original by (i) a competent authority in accordance with the laws of your country (e.g. notary, embassy, consulate, solicitor, the competent official authority who issued the document); or (ii) a Credit Suisse bank.
- Self-certified means certified by name, date and signature as a true, complete and valid copy of the original by the company itself (e.g. the company secretary)

Please choose one of the following and provide for the **completed and duly signed forms enclosed** as outlined below:

- The Applicant is acting in its capacity as Investor **on its own behalf**, as a corporate/legal entity:
  - **INVESTOR PROFILE FORM – Corporate and Legal Entities (Non-Financial Institutions)**,
  - **BENEFICIAL OWNER FORM - Legal Entities** and
  - **INVESTOR PROFILE FORM – Beneficial Owners of Corporate and Legal Entities** for each Beneficial Owner of a legal entity
  - if the Applicant is a legal entity classifying as **Passive Non-Financial Foreign Entities** for FATCA, a **Non-US declaration for Beneficial Owner of Legal Entities** for each Beneficial Owner of the legal entity

- The Applicant is an acceptable **Financial Institution\*** ("FI") acting in its capacity as financial intermediary **on behalf of one or more Investors**:
  - **FINANCIAL INSTITUTION (FI) PROFILE FORM** (see enclosed)

\*to be determined after assessment by the Administrator

- The Applicant (not being an FI) is acting in its capacity **as authorized representative** of the Investor
  - **INVESTOR PROFILE FORM - Corporate and Legal Entities (Non-Financial Institutions)**,
  - **BENEFICIAL OWNER FORM - Legal Entities** and
  - **INVESTOR PROFILE FORM – Beneficial Owners of Corporate and Legal Entities** for each Beneficial Owner of a legal entity

## INVESTOR PROFILE FORM – Corporate and Legal Entities (Non-Financial Institutions)

**Important notes:** This form must be completed for the Investor - being a corporate or legal entity – other than acceptable Financial Institutions<sup>5</sup>. For beneficial owners<sup>6</sup> please complete the attached form for Beneficial Owners of Corporate and Legal Entities per beneficial owner, which is an integral part of this declaration. Further documentation may be requested if deemed necessary to verify the provided information. The information are required to comply with the Luxembourg AML regulations that require the establishment of investors' economic background/professional status and the economic origin of the funds to be invested.

Name \_\_\_\_\_

Corporate Legal Form \_\_\_\_\_

Listed?  Yes, stock exchange: \_\_\_\_\_

No

Industrial Sector \_\_\_\_\_

Main Business Activities that generated the assets of the Company

\_\_\_\_\_  
\_\_\_\_\_

Number of employees \_\_\_\_\_

Does the Company conduct any form of commercial operation (operating activity)?  Yes  No

Is the Company wholly owned by an operational group?  Yes: \_\_\_\_\_

No

Is the Company owned or controlled by a government / government entity?

Yes (specify): \_\_\_\_\_

No

Estimated Total Assets

Up to €1 million  Up to €5 million  Up to €10 million  Up to €100 million  Over €100 million

Expected Total Amount to Invest

Up to €200,000  Up to €500,000  Up to €1,000,000  Up to €10,000,000  Over €10,000,000

Expected Period of Investment

< 6 months  6 – 12 month  > 1 year

Planned Frequency of Future Investment

Lump Sum  Weekly  Monthly  Quarterly  Yearly  Sporadic

The undersigned declares that the information set out above and in the attached form/s for Beneficial Owners of Corporate and Legal Entities are true and undertakes to inform the Fund and the Administrator, of his own accord, about any changes.

Signed by:

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Signatures  
Print names / titles

<sup>5</sup> Financial institutions within the meaning of Article 3 of Directive 2005/60/EC (namely banks, life insurance companies, investment firms) that are licensed and AML regulated in a member state of the EU, the EEA, the FATF (excl. Argentina, China, the Russian Federation and Turkey) and/or other acceptable country.

<sup>6</sup> "Beneficial Owner" is defined by law as any natural person who ultimately owns or controls the investor and/or any natural person on whose behalf a transaction or activity is being conducted. The beneficial owner shall at least include:

(a) in the case of corporate entities: (i) any natural person who ultimately owns or controls a legal entity through direct or indirect ownership or control over a sufficient percentage (more than 25%) of the [hares or voting rights in that legal entity, including through bearer share holdings, other than a company listed on a regulated market that is subject to disclosure requirements consistent with European Community legislation or subject to equivalent international standards; (ii) any natural person who otherwise exercises control over the management of a legal entity;

(b) in the case of legal entities, such as foundations and legal arrangements, such as trusts, which administer and distribute funds: (i) where the future beneficiaries have already been determined, any natural person who is the beneficiary of 25% or more of the property of a legal arrangement or entity; (ii) where the individuals that benefit from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (iii) any natural person who exercises control over 25% or more of the property of a legal arrangement or entity.



## FINANCIAL INSTITUTION (FI) PROFILE FORM

**Important note:** FI not being an acceptable FI (financial institutions within the meaning of Article 3 of Directive 2005/60/EC [namely banks, life insurance companies, investment firms] that are not licensed and AML regulated in a member state of the EU, the EEA, the FATF [excl. Argentina, China, the Russian Federation and Turkey] and/or other acceptable country.) must provide additional information and documentation of itself and the underlying investors. Further documentation may be requested if deemed necessary to verify the below information.

**Name** \_\_\_\_\_

**Corporate Legal Form** \_\_\_\_\_

**Financial Regulator** \_\_\_\_\_

**Listed?**  Yes, stock exchange: \_\_\_\_\_

No

**Is the FI a subsidiary of a financial corporate group?**

Yes Name: \_\_\_\_\_

Jurisdiction: \_\_\_\_\_

No

**Is the Company owned or controlled by a government / government entity?**

Yes (specify): \_\_\_\_\_

No

**Background of the subscription (source of funds for investing)**

Acting on own behalf (proprietary trading)

Acting on behalf of others:

Order of a client

Discretionary mandates

Investment fund management

Investment fund custody

Other: \_\_\_\_\_

**Type of underlying investor/s (if acting on behalf of others)**

Individual

Corporate

Investment fund

Pension fund

Holding company / Trust

Government agency

Other: \_\_\_\_\_

**Important Declaration:** In acting as a financial intermediary in relation to the investment in the Fund, we, the above named FI, confirm to have obtained and recorded evidence of the identity of the underlying investors and any underlying principal of such investor in accordance with our Anti-Money Laundering ("AML") and Sanctions Compliance Program that is based on the AML laws and regulations of our country of domicile, and have applied all of our usual and customary due diligence procedures to the underlying investors, with satisfactory results. We agree, if required to do so either by the Fund, the Administrator<sup>9</sup>, the Depositary or by any other body which acts on the basis of laws and regulations, as a result of the application of anti-money laundering and know-your-customer rules or any amendments thereto ("AML Regulations"), to disclose the investors and any underlying principal of such investor to the Fund, the Administrator, the Depositary and any other body respectively. We acknowledge that this declaration is being relied upon by the Fund and the Administrator with regard to the measures to be applied in accordance with the AML Regulations, and that this declaration shall apply to all our future investments in the Fund as well as to all investments made in our name, to all funds administrated by the Administrator. Signed by:

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Signatures  
Print names / titles

<sup>9</sup> Credit Suisse Fund Services (Luxembourg) S.A.

## REPRESENTATIVE PROFILE FORM

**Important note:** This form must be completed for an authorized representative of the Investor, which is not a FI.

Name \_\_\_\_\_  
Surname, first name(s) / Legal entity name

Relationship to the Investor \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Did you qualify as a "Politically Exposed Person" (PEP)<sup>10</sup>?  Yes: \_\_\_\_\_  
Position / Location  
 No

*In addition, if the Representative is a legal entity:*

Company registration number \_\_\_\_\_

Legal form  Public limited company  Private limited company  
 Partnership  Limited Partnership  
 Unlimited Company  Association  
 Trust  Other: \_\_\_\_\_

Purpose of the Company \_\_\_\_\_

Number of employees \_\_\_\_\_

Is the Company owned or controlled by a government / government entity?  Yes: \_\_\_\_\_  
 No

The undersigned declares that the information set out above are true and undertakes to inform the FUND and the Administrator, of his own accord, about any changes.

Signed by:

\_\_\_\_\_  
Place and date

\_\_\_\_\_  
Signature

<sup>10</sup>The law defines PEPs as natural persons who are or have been entrusted with prominent public functions and immediate family members or persons known to be close associates of such persons. "Natural persons who are or have been entrusted with prominent public functions" means all natural persons, including: heads of State, heads of government, ministers and deputy or assistant ministers; members of parliament; members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal except in exceptional circumstances; members of courts of auditors or of the boards of central banks; ambassadors, chargés d'affaires and high-ranking officers in the armed forces; members of the administrative, management or supervisory bodies of State-owned enterprises; leaders of political parties. "Immediate family members" means all natural persons, including: the spouse; any partner considered by national law as equivalent to the spouse; the children and their spouses or partners; the parents. "Persons known to be close associates" means all natural persons, including: any natural person who is known to have joint beneficial ownership of legal entities or legal arrangements together with a person who is or has been entrusted with a prominent public function, or to have any other close business relations with such a person; any natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of a person who is or has been entrusted with a prominent public function.

**Declaration of Beneficial Owner Status as “Non-U.S. Person” or “U.S. Person”**  
**To be completed by Beneficial Owners of certain Legal Entities**  
 Assets and Income subject to United States Tax

**Investor<sup>11</sup>**

Name

Address of domicile/registered address (Street/no, Zip code, Town)

Country

(hereafter referred to as the “Client”)

**Beneficial Owner<sup>12</sup>**

Name

First name

Street

No.

Zip code

Town

Country

Date of birth (dd.mm.yyyy)

Citizenship(s)<sup>13</sup>

Tax residency

Tax Identifying No. (TIN)

(hereafter referred to as “Beneficial Owner”)

The Client herewith declares that he/she/it holds the above-referenced relationship for the benefit or account of the Beneficial Owner.

Due to the United States tax regulations, and to enable Credit Suisse Fund Services (Luxembourg) S.A. and the investment funds under its administration in terms of fund register and transfer agency (both hereinafter referred to as the “Funds”) to correctly determine the status and qualification of the Beneficial Owner for purposes of U.S. tax, including but not limited to U.S. withholding tax, as a

“**Non-U.S. Person**” or “**U.S. Person**”,

the undersigned Beneficial Owner and Client, respectively, hereby make and confirm the following Declarations to the Funds:

**PART ONE: To be completed by the Beneficial Owner, as to his/her own status:**

**1. Status Declaration for Individuals** (please tick the appropriate box for each question)

**a) Are you currently (or do you plan to be) present in the United States or a U.S. territory for six months or more per year or six months or more consecutively?**

Yes  No

**b) Were you born in the United States or a U.S. territory?**  Yes  No

<sup>11</sup> The Investor is the person in whose name the fund shares] are held in the fund register maintained at CSFSL.

<sup>12</sup> Please sign a separate form for each beneficial Owner (if more than one).

<sup>13</sup> List all citizenships, if more than one.

If you were born in the United States or a U.S. territory but nonetheless believe that you are not a "U.S. Person" under U.S. tax principles, please state the reason and submit written documentation evidencing the relinquishment of your U.S. citizen status:

c) **Are you a U.S. citizen? (sole and dual citizenship)**  Yes  No  
If so, please provide a copy of your current U.S. passport, if available.

d) **Are you the holder of an active U.S. Green Card?**  Yes  No  
Once activated, a U.S. Green Card remains active for U.S. tax purposes (even if the holder resides outside the U.S. and even if the Green Card itself has expired) until either: (1) it is voluntarily returned to the U.S. immigration authorities; or (2) it is administratively or judicially revoked by U.S. immigration authorities or a U.S. federal court.

e) **Are you considered a U.S. resident for tax purposes due to the substantial presence test?**  Yes  No

You qualify as a U.S. resident for tax purposes if you meet the so-called "substantial presence test." To meet this test, you must have been physically present in the United States on at least 31 days during the current year, and 183 days during the 3 year period that includes the current year and the 2 years immediately before. For details as to how to count days for these purposes, you should consult the IRS website: <http://www.irs.gov/taxtopics/tc851.html>

f) **Are you considered a U.S. resident for tax purposes due to filing a joint U.S. tax return with your U.S. citizen or U.S. resident alien spouse?**  Yes  No

## 2. US TIN (if applicable)

**If you answered "Yes" to any question contained in section 1(c) through 1(f):**

Please provide your U.S. Individual Taxpayer Identification Number ("TIN"), which is generally your social security number ("SSN"), in the space below. Please note, a separate information disclosure waiver must also be completed.

TIN: \_ \_ . \_ \_ . \_ \_ \_ \_ \_

## 3. General Certifications

- The Declarant declares that the information contained on this form, as well as the definitions referred to herein, have been reviewed and understood, and certifies that the information provided on this form is true, correct and complete.
- **The Declarant acknowledges and agrees that CSFSL can use the signed form to document the Declarant's status for all current or future relationships that the Declarant is or will be involved in, in any capacity, with any Credit Suisse Group Entity in Switzerland.**
- For the duration of the contractual relationship with CSFSL, **the undersigned Declarant undertakes to notify CSFSL, at his/her own initiative and within 30 days**, if a change of circumstances occurs to his/her status which causes the information on this form to become incorrect.

If you have provided a US TIN above, by signing this form, you hereby certify under penalties of perjury that (1) the TIN shown on this form is my correct TIN; (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and (3) I am a U.S. citizen or U.S. resident alien.

If the IRS has notified you that backup withholding applies to you, you must strike out item (2) in this certification. (The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.)

## Declarant Confirmation

Place, date

Declarant signature



## BENEFICIAL OWNER FORM - Legal Entities

**Important notes:** If more than one beneficial owner exists, further copies of this form must be completed as required. In case of indirect ownership, please describe on a dated and signed company headed paper all the intermediate levels of ownership with names and percentages.

In relation to the investment in [shares/units] of the Fund, applied by and in the name of:

Name of the Applicant \_\_\_\_\_  
Legal entity name

the undersigned, being an authorized representative of the Investor, hereby declares that:

the Investor is a listed company or a wholly owned subsidiary of such listed company

In case of a subsidiary, name of the listed company: \_\_\_\_\_

the Investor is a legal entity not falling under the above category and that the beneficial owner<sup>14</sup> of the assets concerned is:

Title  Mr  Mrs Other: \_\_\_\_\_

Name of the beneficial owner \_\_\_\_\_  
Surname

\_\_\_\_\_   
First name(s)

Nationality \_\_\_\_\_

Date and place of birth \_\_\_\_\_  
Day / Month / Year City Country

Residential address \_\_\_\_\_  
Street number and name

\_\_\_\_\_   
Postal code City Country

Identification document  Identity Card  Passport Number: \_\_\_\_\_

Country of issue \_\_\_\_\_

Tax residence and TIN \_\_\_\_\_  
Country of residence for tax purposes Tax identification number (TIN)

The undersigned declares that the information set out above are true and undertakes to inform the Fund and the Administrator, of his own accord, about any changes.

Signed by:

\_\_\_\_\_   
Place and date

\_\_\_\_\_   
Signature

<sup>14</sup> The law defines "beneficial owner" as any natural person who ultimately owns or controls the Investor and/or any natural person on whose behalf a transaction or activity is being conducted. The beneficial owner shall at least include:

- in the case of incorporated legal entities:

(i) any natural person who ultimately owns or controls a legal entity through direct or indirect ownership or control over a sufficient percentage of the [shares/units] or voting rights in that legal entity, including through bearer share holdings, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Community legislation or subject to equivalent international standards; a percentage of more than 25% shall be deemed sufficient to meet this criterion;

(ii) any natural person who otherwise exercises control over the management of a legal entity (e.g. chief executive officer, members of the board of directors)

- in the case of other legal entities, such as foundations and legal arrangements, such as trusts, which administer and distribute funds:

(i) where the future beneficiaries have already been determined, any natural person who is the beneficiary of 25% or more of the property of a legal arrangement or entity;

(ii) where the individuals that benefit from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates;

(iii) any natural person who exercises control over 25% or more of the property of a legal arrangement or entity.

**CREDIT SUISSE FUND SERVICES (LUXEMBOURG) S.A.  
CREDIT SUISSE TA SUBSCRIPTION COLLECTION ACCOUNT  
SETTLEMENT INSTRUCTIONS**

Subscription proceeds are to be made available to the Administrator by cash transfer. The full subscription price of the shares must be received in immediately available funds in line with the cut-off time for payment of subscription monies in the relevant currencies.

Please instruct payments by **SWIFT MT103** only for the respective currencies as follows:

<b>CCY</b>			<b>SWIFT FIELD:</b>
<b>EUR</b>	BENEFICIARY BANK SWIFT:	<b>CRESLULLXXX</b>	Target2
	BENEFICIARY BANK :	CREDIT SUISSE (LUXEMBOURG) S.A.	57
	BENEFICIARY IBAN:	<b>LU73 078A 1542 1507 2000</b>	59
	<i>OR BENEFICIARY ACCOUNT:</i>	<i>0183-1542150-72-000</i>	59
	BENEFICIARY ACCOUNT NAME:	<b>CREDIT SUISSE TA COLLECTION ACCOUNT</b>	59

<b>USD</b>	CORRESPONDENT BANK SWIFT:	<b>PNBPUS3NNYC</b>	56
	CORRESPONDENT BANK:	Wells Fargo Bank NA	56
	CHIPS UID	509	
	FED ABA	26005092	
	BENEFICIARY BANK SWIFT:	<b>CRESLULLXXX</b>	57
	BENEFICIARY BANK :	CREDIT SUISSE (LUXEMBOURG) S.A.	57
	BENEFICIARY IBAN:	<b>LU46 078A 1542 1507 2001</b>	59
	<i>OR BENEFICIARY ACCOUNT:</i>	<i>0183-1542150-72-001</i>	59
	BENEFICIARY ACCOUNT NAME:	<b>CREDIT SUISSE TA COLLECTION ACCOUNT</b>	59

<b>CHF</b>	CORRESPONDENT BANK SWIFT:	<b>CRESCHZZ80A</b>	56
	CORRESPONDENT BANK:	CREDIT SUISSE AG, ZURICH	56
	BENEFICIARY BANK SWIFT:	<b>CRESLULLXXX</b>	57
	BENEFICIARY BANK :	CREDIT SUISSE (LUXEMBOURG) S.A.	57
	BENEFICIARY IBAN:	<b>LU10 078A 1542 1507 1000</b>	59
	OR BENEFICIARY ACCOUNT :	<i>0183-1542150-71-000</i>	59
	BENEFICIARY ACCOUNT NAME:	<b>CREDIT SUISSE TA COLLECTION ACCOUNT</b>	59

<b>GBP</b>	CORRESPONDENT BANK SWIFT:	<b>MIDLGB22XXX</b>	54
	<i>OR CORR. BANK SORT CODE :</i>	<i>40-05-15</i>	54
	CORRESPONDENT BANK:	HSBC BANK PLC, LONDON	54
	CORRESPONDENT BANK SWIFT:	<b>CRESchZZ80A</b>	56
	CORRESPONDENT BANK:	CREDIT SUISSE AG, ZURICH	56
	BENEFICIARY BANK SWIFT:	<b>CRESLULLXXX</b>	57
	BENEFICIARY BANK :	CREDIT SUISSE (LUXEMBOURG) S.A.	57
	BENEFICIARY IBAN:	<b>LU19 078A 1542 1507 2002</b>	59
	<i>OR BENEFICIARY ACCOUNT :</i>	<i>0183-1542150-72-002</i>	59
	BENEFICIARY ACCOUNT NAME:	<b>CREDIT SUISSE TA COLLECTION ACCOUNT</b>	59

<b>JPY</b>	CORRESPONDENT BANK SWIFT:	<b>BOTKJPJTXXX</b>	54
	CORRESPONDENT BANK:	BANK OF TOKYO-MITSUBISHI UFJ Ltd, Tokyo	54
	CORRESPONDENT BANK SWIFT:	<b>CRESchZZ80A</b>	56
	CORRESPONDENT BANK:	CREDIT SUISSE AG, ZURICH	56
	BENEFICIARY BANK SWIFT:	<b>CRESLULLXXX</b>	57
	BENEFICIARY BANK :	CREDIT SUISSE (LUXEMBOURG) S.A.	57
	BENEFICIARY IBAN:	<b>LU24 078A 1542 1507 2009</b>	59
	<i>OR BENEFICIARY ACCOUNT :</i>	<i>0183-1542150-72-009</i>	59
	BENEFICIARY ACCOUNT NAME:	<b>CREDIT SUISSE TA COLLECTION ACCOUNT</b>	59
	<b>ALL CCY</b>	REFERENCE / REMITTANCE INFORMATION :	<b>“ISIN CODE or FUND NAME” – “ORDER NUMBER or ACCOUNT NUMBER” X</b>

<sup>x</sup> – Amend accordingly in the payment details.

## Data Protection Notice for shareholders of

### Name of SICAV or FCP

5, rue Jean Monnet,  
L-2180 Luxembourg

(the "**Company**")

By subscribing in Name of SICAV or FCP domiciled at 5, rue Jean Monnet, L-2180 Luxembourg (the "Fund" or the "Funds") and managed by MultiConcept Fund Management S.A. (the "**Management Company**"), you are providing personal data to the Funds and to its Management Company and their respective service providers. This notice is to make you aware of how the Funds and the Management Company (hereinafter "we" and "us") hold, use and process your personal data, as well as the steps taken to ensure our data processing is in compliance with the General Data Protection Regulation (EU/2016/679) ("**GDPR**") and any implementing legislation ("**Data Protection Legislation**").

Unless otherwise stated in this data protection notice ("**Notice**"), capitalised terms have the meaning given to these terms in the Account Opening and Application Form. For the purpose of this Notice, the terms "data controller", "data processor", "personal data", "data subject" and any other term expressly defined in article 4 of the GDPR have the meaning given to these terms in article 4 of the GDPR.

### Scope

This Notice applies to you as investor in the Fund and to any natural persons (including, but not limited to, directors, representatives, agents or employees) whose information you provide to us in connection with our relationship with you. It is your responsibility to ensure that any of these natural persons whose personal data you provide are aware of their rights in this regard and are provided with a copy of this Notice.

Any references to 'you' and 'your' should be construed to include such third parties. This Notice may be updated from time to time and you will be notified in writing in case of any changes.

### Identity of the controllers

The Fund and the Management Company are the data controllers for the personal data collected and processed in the context of your investment in the Fund. In this capacity, they are responsible of your personal data.

Your personal data will be processed by the Fund, in a capacity as data controller for a certain number of purposes such as collecting money for investment purposes and placing the [shares/units] of the Fund, in accordance with the Luxembourg laws and regulations, and the terms of the articles and the prospectus of the Fund.

Your Personal Data will also be processed by the Management Company, acting in a capacity as data controller, in its own right, in the context of the Fund management, in order to perform the functions assigned to it by law. Those functions include in particular the administration, the registrar and transfer agency function, the investment management, compliance, risk management and distribution functions, in accordance with the Luxembourg laws and regulations and the terms of the articles and the prospectus of the Fund.

The purposes for which the Fund and the Management Company process your personal data are further described below.

In providing the services to the Fund or the Management Company, third party service providers such as the Administrator and the Depositary may also act in a capacity as independent data controllers when processing your personal data for the purposes of complying with their own legal and regulatory obligations or for their own legitimate interest (in particular in the context of AML and KYC related processes). Information about processing activities of the Administrator and the Depositary of the Fund are available on their respective website.

### What personal information do we collect

We will hold some or all of the following types of your personal data: investor name, e-mail, phone number, address and domicile details, date of birth, career profession, occupation, job function, family details, copies of proof of identity documents which may include a photograph, nationality/-ies, signature, tax identification numbers, financial details, in particular account numbers, data on transactions, trading and settlement, PEP status, relationship identifiers and any other information required to perform requested services related to your investment in the Fund ("**Personal Data**").

### Where we obtain personal data from

We will collect information about you directly and also from a number of external sources.

- (i) Information that we receive from you:

We process Personal Data that you provide to us directly, and that we obtain from our dealings with you during the course of our relationship:

- from the forms and any associated documentation that you complete when subscribing for an investment,

- when you provide it to us in correspondence and conversations, and
- when you make transactions with respect to the Fund, when you purchase securities from us and/or tell us where to transfer money

(ii) Information that we obtain from others, and who those others are:

We also collect Personal Data from:

- publicly available and accessible registries and sources;
- bankruptcy registers;
- tax authorities, including those that are based in and /outside the EEA
- governmental and competent regulatory authorities to whom we have regulatory reporting obligations;
- credit agencies;
- fraud prevention and detection agencies and organisations; and
- Credit Suisse internal lists for prevention and detection of financial crime activities.

## Purposes of Processing

Your Personal Data may be processed by us for the following purposes:

- (i) where necessary to perform the contract (and/or pre-contractual steps) with you:
- to facilitate the opening of your account (including investor and related party identification processes) and administration of your holdings in the Fund and any related account on an on-going basis, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions and capital call as well as the production and dissemination of transaction and cash flow reports, investors register reports to the Fund and its delegates;
  - to perform any communication to the investors in relation to their investments in the Fund;
  - to perform accounting services for the Fund in particular in relation to the calculation of dividend distributions, redemption proceeds, amounts due by the investors to the Fund;
  - in general, to meet the resulting contractual obligations we have to you;
- (ii) where necessary for compliance with an EU or EU Member state legal or regulatory obligation to which we are subject. We are required by law or regulation to collect this information from you:
- in order to carry out anti-money laundering checks and related actions which we consider appropriate to meet any legal obligations imposed on us or to pursue our legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Fund, the Management Company and their delegates' anti-money laundering procedures;
  - to report tax related information to tax authorities and to the Fund or its representatives or delegates/ agents (e.g to comply with the CRS and FATCA legislations, and any applicable tax requirements)(see also below);
  - to comply with legal obligations under company law;
  - to comply with accounting legal obligations;
  - to provide relevant information and reporting to the CSSF where we are under a legal obligation to do so.
- (iii) for our legitimate interests or those of a third party to which we are transferring Personal Data provided we have considered that our legitimate interests (or those of that third party) are not overridden by your interests, fundamental rights or freedoms.

Our legitimate interests are:

- to disclose information to other data recipients such as service providers of the Fund and of the Management Company and their affiliates, auditors, regulatory authorities and technology providers;
- to monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the rights of the Fund, the Management Company and their delegates in order to comply with any legal obligation imposed on them, (v) quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund, the Management Company and their delegates to improve their services in relation to such matters or (vi) where the processing is in the public interest;
- to comply with obligations or internal policy requirements of the Fund and the Management Company (e.g. in relation to financial crime prevention);
- to send you commercial communications in the context of existing products or services or for further commercial marketing of similar products or services (marketing);
- to improve the efficiency of the investor identification to streamline KYC/ AML processes and enhance the initial and on-going review of the investors documentation for AML/ KYC purposes;
- to improve the efficiency of the order processing and reduce risks caused by manual intervention in the processing of the subscription and redemption orders;
- to protect our business against fraud, breach of confidence, theft of proprietary materials, and other financial or business crimes;

- to protect the security and integrity of our IT systems.

Given the specific purposes for which the Fund and the Management Company envisage processing your Personal Data, the Fund and the Management Company do not anticipate obtaining your consent to do so. If we were to rely on consent to process your Personal Data, we will contact you to obtain this consent. In case consent is relied upon to legitimate a data processing, you will have the right to withdraw this consent at any time.

**Please also refer to the specific section below for processing activities and related Personal Data disclosures in the context of the Funds' legal obligations under the FATCA and the CRS regimes:**

#### **FATCA related processing activities and disclosures**

In accordance with the Data Protection Legislation, the Fund, as the Data Controller shall comply with its legal obligations under the FATCA Law (as defined in the Subscription Form).

The Fund's ability to satisfy its legal obligations under the FATCA Law will depend on each investor providing the Fund with the FATCA Personal Data (as defined below), including the investor's name, date and place of birth, address, account number (or functional equivalent), account balance or value and U.S. tax identification number, the total gross amount of interest, the total gross amount of dividends, the total gross amount of other income generated with respect to the assets held in the account, the total gross proceeds from the sale or redemption of property paid or credited to the account, the total gross amount of interest paid or credited to the account, the total gross amount paid or credited to the investor with respect to the account, standing instructions to transfer funds to an account maintained in the U.S., and any other relevant information in relation to the investors or their Controlling Persons (as defined in the Subscription Form) for the purposes of the FATCA Law, along with the required supporting documentary evidence (the "**FATCA Personal Data**"). In this context, the investors are hereby informed that, as the Data Controller, the Fund will process the FATCA Personal Data for the purposes as set out in the FATCA Law. The investors shall inform their Controlling Persons, if applicable, of the processing of their FATCA Personal Data by the Fund.

The FATCA Personal Data will be reported by the Management Company or the Administrator, as applicable, to the Luxembourg Tax Authority. The Luxembourg Tax Authority, under its own responsibility, will in turn pass on the FATCA Personal Data to the US Internal Revenue Service in application of the FATCA Law.

The investors are further informed that the FATCA Personal Data related to Reportable Persons within the meaning of the FATCA Law will be disclosed to the Luxembourg Tax Authority annually for the purposes set out in the FATCA Law. In particular, Reportable Persons are informed that certain operations performed by them will be reported to them through the issuance of statements, and that part of this information will serve as a basis for the annual disclosure to the Luxembourg Tax Authority. FATCA Personal Data may also be processed by the Fund's data processors which, in the context of FATCA processing, refer to the Management Company and the Administrator.

#### **CRS related processing activities and disclosures**

The Fund may be subject to the Standard for Automatic Exchange of Financial Account Information in Tax matters (the "Standard") and its Common Reporting Standard (the "CRS") as set out in the law implementing the CRS in Luxembourg (the "CRS Law", as defined in the Subscription Form).

The Fund's ability to satisfy its reporting obligations under the CRS Law will depend on each investor providing the Fund with the CRS Personal Data (as defined below), including information regarding direct or indirect owners of the investor, along with the required supporting documentary evidence. In this context, the investors are hereby informed that, as the Data Controller, the Fund will process the CRS Personal Data for the purposes as set out in the CRS Law.

A Reporting Financial Institution, as of 30 June 2017 and without prejudice to other applicable data protection provisions as set out in the Fund documentation, will be required to annually report to the Luxembourg Tax Authority: the name, residence address, TIN(s), the date and place of birth, the country of tax residence(s), the phone number, the account number (or functional equivalent), standing instructions to transfer funds to an account maintained in a Reportable Jurisdiction, the account balance or value, the total gross amount of interest, the total gross amount of dividends, the total gross amount of other income generated with respect to the assets held in the account, the total gross proceeds from the sale or redemption of property paid or credited to the account, the total gross amount of interest paid or credited to the account, the total gross amount paid or credited to the investor with respect to the account, as well as any other information required by applicable laws of i) each Reportable Person that is an account holder, ii) and, in the case of a Passive NFE within the meaning of the CRS-Law, of each Controlling Person that is a Reportable Person (the "**CRS Personal Data**").

The investors are further informed that the CRS Personal Data related to Reportable Persons within the meaning of the CRS Law will be disclosed to the Luxembourg Tax Authority annually for the purposes set out in the CRS Law. The CRS Personal Data may be disclosed by the Luxembourg Tax Authority, under its own responsibility to foreign tax authorities. In particular, Reportable Persons are informed that certain operations performed by them will be reported to them through the issuance of statements, and that part of this information will serve as a basis for the annual disclosure to the Luxembourg Tax Authority.

CRS Personal Data may also be processed by the Fund's data processors ("Processors") which, in the context of CRS processing, refer to the Management Company and the Administrator.

#### **Recipients of your Personal Data**

In addition to the Fund and the Management Company, your Personal Data will be disclosed to, and processed by the following entities (the "**Recipients**") for the purpose of providing the services required by you and/or for allowing these companies to comply with their own legal and regulatory obligations (including under company law and anti-money laundering legislation or foreign regulatory requirements):

- Credit Suisse Fund Services (Luxembourg) SA, which is the Administrator of the Fund;
- Credit Suisse (Luxembourg) SA as the Depositary of the Fund;

- EBRC S.A., with registered office located 5, rue Eugène Ruppert, L-2453 Luxembourg, being a professional of the financial sector, hosting certain personal data processed for accounting & transfer agency services for private equity and real estate funds;
- Other Credit Suisse affiliated companies in their role as support to the portfolio management and distribution activities of the Management Company and the Fund;
- Credit Suisse AG, Credit Suisse (Schweiz) AG, Credit Suisse Services AG as far as certain processing activities are operated on the information technology (IT) platform of those entities;
- Credit Suisse AG, Credit Suisse (Schweiz) AG, Credit Suisse Asset Management & Investor Services (Switzerland) Holding Ltd, Credit Suisse Asset Management International Holding AG as far as certain processing activities include monitoring of risks on a consolidated basis (e.g. compliance, anti-money laundering, internal supervision, reporting, governance and audit);
- Other recipients including legal or financial advisors, auditors and technology providers (including without limitation certain AML/ KYC mutualisation agents which are licensed as professional of the financial sector in Luxembourg)

These Recipients may further disclose your Personal Data to their affiliates and service providers in order to process the data for the purposes mentioned above and for internal investigations and reporting.

In specific circumstances, your Personal Data may also be disclosed to competent authorities (including tax and financial supervisory authorities or regulatory bodies), courts and bodies as required by applicable law or as requested by such authorities (e.g. for CRS and FATCA laws);

The Fund and the Management Company, as applicable, will take all reasonable steps, as required by Data Protection Legislation, to ensure the safety, privacy and integrity of your Personal Data (including, when applicable, of your FATCA Personal Data and/or CRS Personal Data) and will, as required enter into contracts with such Recipients to protect the privacy and integrity of your Personal Data supplied.

### **Transfers of Personal Data outside the EEA**

In principle, the Fund, the Management Company and Recipients will not transfer your Personal Data to countries outside of the European Economic Area ("EEA") that do not provide adequate level of data protection.

The Management Company and/or the Administrator may transfer your Personal Data to Credit Suisse affiliates in Switzerland in which case such transfer will be based on the adequacy decision issued by the European Commission.

In case Personal Data is transferred outside the EEA to a country that does not provide adequate level of data protection, the Fund, the Management Company and the third party service providers will take all steps necessary to ensure that your Personal Data is treated securely, and that appropriate safeguard (in particular Standard Contractual Clauses) are in place to protect the privacy and integrity of such Personal Data, in accordance with the Data Protection Legislation. Please contact us if you wish to obtain more information concerning these safeguards (see 'Contact Us').

### **Where you do not provide your Personal Data**

Investors are required to provide their Personal Data for statutory and contractual purposes. Failure to provide the required Personal Data may result in the Fund and/or the Management Company being unable to permit or process the investor's investment in the Fund, and this may result in the Fund terminating its relationship with the investor.

### **Security and Retention of your data**

We take all reasonable steps as required by Data Protection Legislation to ensure the safety, privacy and integrity of your Personal Data. We will retain your Personal Data only for as long as is necessary to manage your investment, meet regulatory requirements and carry out the purposes set out above and/or to comply with any legal obligations (whichever is longer). Please contact us if you wish to obtain more information concerning the relevant retention periods (see 'Contact Us').

In principle we will retain your personal information for a period of 10 years following the termination of your relationship with the Fund or for as long as required for the Management Company to comply with applicable legal/regulatory or tax obligations. Under certain circumstances, special retention obligations may be imposed on the Management Company, the third party service providers and their affiliates (in relation to records and other information relevant to pending or reasonably foreseeable litigation, investigations, regulatory inquiries and ongoing proceedings).

### **Your Rights**

You have certain rights under the GDPR:

- the right to access your Personal Data (including, where applicable, your FATCA Personal Data and/or your CRS Personal Data), including the right to ask for a copy of your such Personal Data where it does not adversely affect the rights and freedoms of others (please note that if you request any further hard copies later on, we may charge you a reasonable fee based on administrative costs);
- the right to have incomplete or inaccurate Personal Data (including, where applicable, FATCA Personal Data and/or CRS Personal Data) corrected (including by means of providing a supplementary statement);

In some limited circumstances:

- the right to object to the use of your Personal Data  
In individual cases, we process your Personal Data in order to conduct direct marketing. You have the right to object to the processing of your Personal Data for the purpose of this type of marketing at any time. This also applies to profiling, insofar as it is in direct connection with such direct marketing. If you object to processing for the purpose of direct marketing, we will no longer process your Personal Data for this purpose  
On grounds relating to your particular situation, you shall have the right of objection, at any time, to processing of your Personal Data that is necessary for the purposes of the legitimate interests pursued by the controller or by a third party. This also applies to profiling. If you submit an objection, we will no longer process your Personal Data unless we can give evidence of mandatory, legitimate reasons for processing, which outweigh your interests, rights, and freedoms, or processing serves the enforcement, exercise, or defense of interests. Please note, that in such cases we might not be able to provide services and/or maintain a business relationship with you
- the right to restrict the use of your Personal Data (including, where applicable, your FATCA Personal Data and/or your CRS Personal Data)
- the right to require us to erase / delete your Personal Data  
Please note that if we process your Personal Data in particular to comply with a legal obligation (see above), we will not be able to respond positively to your request.
- the right to receive Personal Data which you have provided to us in a structured, commonly used and machine-readable format and the right to transmit those data to another data controller.  
Please note that this right to data portability only arises where: (a) the processing is based on consent or on a contract; and (b) the processing is carried out by automated means, and (c) it does not adversely affect the rights and freedoms of others. It also only applies to the data that you have provided to us.
- the right to ask questions or lodge a complaint about our processing of your Personal Data with the relevant data protection authority.

In Luxembourg, the relevant data protection authority is the Commission Nationale pour la Protection des Données.

## How to contact us

If you want more details on the processing of your Personal Data, if you have any specific queries or concerns regarding the processing of your Personal Data, if you want to exercise your rights towards us or if you would like to make a complaint, do not hesitate to contact:

### **Data Protection Office Representative**

at  
MULTICONCEPT FUND MANAGEMENT S.A.  
5, rue Jean Monnet  
L-2180 Luxembourg  
Grand Duchy of Luxembourg  
Phone: +352 43 61 61 - 1  
E-mail: [luxembourg.data-protection@credit-suisse.com](mailto:luxembourg.data-protection@credit-suisse.com)

or

### **Credit Suisse Group Data Protection Officer**

at  
CREDIT SUISSE SERVICES AG, LONDON BRANCH  
Five Canada Square  
London E14 5AQ  
Great Britain  
Phone: +44 20 7888 8888  
E-mail: [data-protection@credit-suisse.com](mailto:data-protection@credit-suisse.com)