

Insight LDI Solutions Plus Plc  
(Nominal, RPI and LPI Funds)

# Account opening form



# Insight LDI Solutions Plus plc (the 'Company') account opening form

(Nominal, RPI and LPI Funds)

Please ensure you have read the Prospectus, including the relevant Supplement(s) for the Company ("the Prospectus") before completing this account opening form. Defined terms used in this account opening form are those used in the Prospectus.

All applicants should sign the necessary declarations in section 7. Please contact the Administrator if you are an Irish taxable person.

This account opening form is to be used to establish an account prior to dealing. As soon as the account has been established it is open for dealing and trades can be placed using the relevant transaction form. For investments into the Insight LDI Solutions Plus Nominal, RPI and LPI Funds the transaction form must be received before the relevant Fund's Dealing Deadline as set out in the relevant Supplement. Unless the Directors otherwise agree, applications received after the relevant Dealing Deadline will be processed on the next Dealing Day.

**On completion, please send to: Insight Investment LDI Solutions Plus Plc, c/o Northern Trust International Fund Administration Services (Ireland) Limited, George's Court, 54-62 Townsend Street, Dublin 2. Tel: 0207 982 3985 or +353 1 542 2910 Fax: +353 1 434 5286**

Telephone calls may be recorded.

## 1. Registration details

Account name

Account designation (if applicable)

Address

Postcode

Place of incorporation (if applicable)

Contact person

Telephone number

Email address

Fax number

## 2. Your bank account details (mandatory)

Please provide details of the account to which redemption proceeds should be paid. Payments will only be made to a bank account held in the name of the registered shareholder. No third party payments will be made.

Both IBAN & SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA.

Amendments to investors' payment instructions will only be effected upon receipt of an original instruction which has been signed by an authorised signatory.

Correspondent bank (if applicable)

Correspondent bank ABA / BIC code (if applicable)

Intermediary bank name

Sort code

Account name

Account number

IBAN (if applicable)

NO THIRD PARTY PAYMENTS WILL BE MADE

### 3. Electronic reporting

We can send you contract notes, statements and other reports by email or fax rather than post. Information not sent electronically will be issued by post.

Please state the name, email address, telephone and fax number of all individuals to which electronic reporting should be made available.

Full name	Email address	Fax number	Telephone number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Only investors who do **NOT** want to receive electronic reporting should tick the box below.

By ticking the box, I hereby confirm that I do not wish to receive contract notes, statements and other reports which may be issued from time to time in accordance with Irish Law by the Administrator in respect of my holdings in the Company by electronic means.

### 4. Anti-money laundering requirements

In line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. As all investors must enter into or already have entered into a separate client agreement with the Investment Manager or Sub-Investment Manager, or an affiliate company to the Sub-Investment Manager or Investment Manager, the appropriate anti-money laundering checks to verify the identity of the investor should have already been carried out.

The Investment Manager or Sub-Investment Manager, or an affiliate company to the Sub-Investment Manager or Investment Manager will carry out the necessary anti-money laundering checks as part of the process of entering into a client agreement with the investor.

This Application Form must be accompanied by a letter from the Investment Manager or Sub-Investment Manager, or an affiliate company to the Sub-Investment Manager or Investment Manager to the Administrator, confirming that these checks have been carried out.

Failure to supply all the necessary account documentation will result in payments being withheld by us.

### 5. Declaration of residence outside the Republic of Ireland (mandatory)

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax.

**It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares.**

Terms used in this declaration are defined in the Prospectus. Tick (a) or (b) as appropriate (mandatory).

**(a) Declaration on own behalf**

I/We declare that I am/we are applying for the shares on my own/our own behalf/on behalf of a company and that I am/we are/the company is entitled to the shares in respect of which this declaration is made and that:

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

**(b) Declaration as Intermediary**

I/We declare that I am/we are applying for shares on behalf of persons:

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

I/We also declare that:

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

Applicant name and address

Signature of applicant or authorised signatory (declarant)

Capacity of authorised signatory (if applicable)

Date

Name

Signature

Name

Signature

## 6. Declaration of residence within the Republic of Ireland (note 1)

### Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997

Only to be completed if you are a resident within the Republic of Ireland.

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the shares on behalf of the applicant named below who is entitled to the shares in respect of which this declaration is made and is a person referred to in Section 739D (6) of the Taxes Consolidation Act, 1997 ("TCA 1997"), being a person who is:

#### Please tick as appropriate

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

Exempt from income tax and capital gains tax by virtue of section 848E TCA 1997 where the shares held are assets of a special savings incentive account.

A company investing in a money market fund, to which section 739 (D) (K) (I) of the TCA 1997 refers, this is, or will be, within the charge to corporation tax in accordance with section 739 (D) of the TCA 1997.

#### Additional requirements where the declaration is completed on behalf of a charity

- I also declare that at the time of making this declaration, the shares in respect of which this declaration is made are held for charitable purposes only and;
- Form part of the assets of a body of persons or trust related by the Revenue Commissioners as a body or trust established for charitable purposes only, or are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.
- I undertake that, in the event that the person referred to in paragraph (7) (d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA 1997, I will by written notice, bring this fact to the attention of the investment undertaking accordingly.

#### Additional requirements where the declaration is completed by a qualifying fund manager

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

- Are assets of an approved retirement fund/an approved minimum retirement fund, and
- Are managed by the declarant for the individual named below who is beneficially entitled to the shares.

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

Name of applicant	Irish Tax Reference Number of applicant <sup>(note 2)</sup>
<input type="text"/>	<input type="text"/>
Authorised signatory (Declarant) (Mr/Ms/etc.) <sup>(note 3)</sup>	Capacity in which declaration is made
<input type="text"/>	<input type="text"/>
Date	
<input type="text"/>	

## Important Notes

- 1 This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
- 2 Tax Reference Number in relation to a person, has the meaning assigned to it by Section 885 TCA 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by the Revenue. In the case of a qualifying fund manager, quote the Tax Reference Number of the beneficial owner of the shares.
- 3 In the case of (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case, it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

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## 7. Signatures and Declarations

1. I/We hereby acknowledge as part of this account opening that I/we have been offered the Prospectus and where applicable the most recent annual or half-yearly reports and accounts for the Company and furthermore that this application is made on the terms thereof and subject to the provisions of the Prospectus and Memorandum and Articles of Association of the Company and I/we are bound by the terms of the Prospectus and the Memorandum and Articles of Association of the Company.
2. I/We have made arrangements for payment to be made by electronic transfer and acknowledge that the Company reserves the right to reject in whole or in part this application for an account.
3. I/We hereby represent and declare that I/we: (i) am/are not a U.S. Person as defined in the Prospectus; (ii) have not been solicited to purchase and have not and will not acquire shares while present in the United States; (iii) am/are not applying as a nominee of a U.S. Person and I/we am/are not acting on behalf of nor do I/we intend to transfer any shares to any U.S. Person(s); (iv) will not transfer any shares or any interest therein to a U.S. Person and will not transfer any shares within the United States; and (v) will promptly notify the Company if I/we should at any time become a U.S. Person. I/We confirm that I/we have the authority to make this investment whether the investment is our own or is made on behalf of another person or institution. I/We hereby represent and declare that I/we am/are fully informed as to: (i) the legal requirements within our country for the purchase of the shares and are permitted to purchase the shares under the laws and regulations of our home country in the manner in which the shares have been offered and sold to us; (ii) any foreign exchange restrictions applicable to us; and (iii) any relevant tax considerations relating to us arising out of our purchase and ownership of shares.
4. I/We hereby agree to indemnify and hold harmless the Company, Custodian, Administrator, Investment Manager, Distributor and the other Shareholders and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company. The Company, Custodian, Administrator, Distributor and Investment

Manager will not be responsible or liable for the authenticity of instructions received from us or any authorised person and may rely upon any instruction from any such person representing himself to be a duly authorised person reasonably believed to be genuine.

I/We also agree to indemnify and hold harmless the Company, Custodian, Administrator, Investment Manager, Distributor and the other Shareholders and their respective directors, officers and employees against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result from my holdings of shares in the Company which brings the Company into conflict with any requirement of any local regulatory authority or the Company incurring any liability to taxation or breaching any law or regulation of any local regulatory or taxation authority.

5. I/We acknowledge that the Administrator may, in accordance with Irish law, electronically deliver reports to shareholders in accordance with Section 4. Such reports may include but are not limited to contract notes, holdings confirmations, valuation statements and other reports which may be issued by the Administrator from time to time ("Reports"). I/We hereby agree that the Administrator and its directors, officers, employees and agents shall be fully indemnified and shall not be liable to me/us or to any Shareholders in the Company for any direct loss, damage, expense (including without limitation, legal counsel and professional fees and other costs and expenses incurred in connection with the defence of any claim, action or proceedings) occasioned by act or omission of the Administrator and its directors, officers and employees in connection with the electronic delivery of Reports other than as a result of the fraud, negligence, bad faith, wilful misconduct or reckless disregard of the Administrator in the performance of its duties as Administrator of the Company.
6. I/We acknowledge that due to anti-money laundering requirements operating within their respective jurisdictions the Company, Administrator or Distributor (as the case may be) may require further identification from me/us, as described in the Prospectus, at any time in relation to this account opening and the Company, Administrator and Distributor shall be held harmless and indemnified against any loss arising as a result of a failure to process the application for an account or a delay in the processing of a redemption request if such information as has been required by the parties referred to has not been provided by me/us. I/We also warrant and declare that the monies being invested pursuant to the application for an account do not represent directly or indirectly the proceeds of any criminal activity and that the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise. I/we warrant and declare that the proceeds of any redemptions or any dividend paid by the Company will not be used for the financing of any terrorist activity.
7. I/We agree that personal information obtained in relation to me/us will be held on computer and in paper records and may be disclosed by the Company, Administrator, Investment Manager or Custodian to each other or to their related companies and may be used for the purposes of maintaining records, administration of the Company and marketing of the Company or other investment products or services of the Investment Manager or its related companies. I/We also agree that such information may be transferred to countries outside the European Economic Area for these purposes and that such countries may not have equivalent data protection laws to those in Europe. I/we consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Company, the Custodian, the Investment Manager or the Sub-Investment Manager and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes.
8. To be valid, this Account Opening Form must be signed by each applicant and if not fully completed to the satisfaction of the Company, Administrator or the Distributor the application for an account may be rejected. In the case of a partnership/firm account opening forms should be signed by all the partners/proprietors. In the case of a corporation, applications should be executed under seal or signed by a duly authorised person(s) who should state the representative capacity. In the case of a trust, account opening forms should be made in the individual names of the trustees and should be accompanied by duly certified documentation. If this Account Opening Form is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany this application.
9. I/We undertake to abide by the restrictions on transfers of shares set out in the Prospectus under the heading "Form of Shares and Transfer of Shares". In addition, I/ we undertake to ensure that the transferee completes an account opening form in respect of such transfer.
10. I/We understand that telephone calls may be recorded for my/our protection.

11. The Administrator and the Company are each authorised and instructed to accept and execute any instructions in respect to the shares to which this application relates given by me/us in written form or by facsimile or by telephone or by such other means and on such terms as may be agreed from time to time by me/us with the Administrator ("Instructions"). I/We agree that the Administrator and the Company may record all telephone conversations made to and received from investors by the Administrator and the Company, their delegates, duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes. Unless otherwise agreed in writing, I/we acknowledge that confirmation of telephone instructions given will not be issued by the Administrator or the Company. I/We undertake to confirm Instructions in writing upon request. I/We hereby agree to indemnify each of the Administrator (on its behalf and as an agent of the Company) and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon facsimile, telephonic, electronic or other instructions. The Administrator and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction, or other instrument believed in good faith to be genuine or to be signed or otherwise given by properly authorised persons.
12. I/We agree to notify the Company or the Administrator immediately if I/we become aware that any of the representations is no longer accurate and complete in all respects and agree immediately to take such action as the Company may direct, including where appropriate, the redemption of my/our holding in its entirety. I/We agree to indemnify each of the Administrator and the Company and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
13. I/We hereby warrant that I am/we are a Qualifying Investor. I/We acknowledge that I am/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose all of the investment.

Authorised Signatory

Authorised Signatory

Authorised Signatory

Authorised Signatory

Date

