

**NANJIA CAPITAL ICAV**  
**SUBSCRIPTION AGREEMENT**

This Subscription Agreement, which acts as an account opening form, should be read in the context of and together with the latest Prospectus & Supplement(s) of the ICAV (collectively referred to as the "Prospectus"), and save where otherwise defined in this Subscription Agreement, all capitalized terms shall have the same meaning as in the Prospectus. Please complete all the following sections as indicated.

**Please note that separate forms are required for subsequent (repeat) subscriptions and redemptions of Shares. These forms are contained at Appendices II and III.**

**Nanjia Capital ICAV**

CSC Fund Administration (Ireland) Limited  
3<sup>rd</sup> Floor Fleming Court,  
Fleming's Place,  
Dublin 4, Ireland.  
Tel: +353 1 582 2463  
Fax: +353 1 686 5629  
Email: nanjiaucits@cscgfm.com

**Instructions**

For initial subscriptions for Shares you must complete the Subscription Agreement and send by post, fax, e-mail or by any other means as deemed acceptable by the Administrator together with the supporting documentation required for Anti-Money Laundering purposes by 4.00 p.m. UK time on the day three Business Day prior to the relevant Dealing Day, or any other Dealing Deadline as otherwise specified in the relevant Supplement. Where the Subscription Agreement and supporting documents are not sent by post, original and supporting documentation is to follow promptly by post.

Failure to provide the Subscription Agreement along with the documentation required for Anti-Money Laundering purposes may result in the deduction of tax due to the Irish Finance Act requirements outlined in the Anti-Money Laundering section and/or a delay in the acceptance and/or payment of a transfer/redemption request.

Subsequent subscriptions may be made by completing the form set out at Appendix II hereto, and returning it to the Administrator as set out therein.

Redemptions may be made by completing the form set out at Appendix III hereto, and returning it to the Administrator as set out therein.

Where the Subscriber is not an individual, an authorized signatory list must be provided at the time of account opening for the investing entity in whose name the account is being opened. The Subscription Agreement must be signed in accordance with that authorized signatory list.

Any subsequent changes to the original account details set out herein must be received and signed by no less than two authorized signatories, in the case of a company, on corporate letterhead, and in the case of retail applicants, all account signatories must authorize every instruction.

**Subscription Information**

**Subscription Information – Civetta Nanjia Fund**

Please pay subscription monies in the relevant class currency to the following account(s) referencing the name of the applicant

**U.S. Dollar**

**Correspondent:** SOCIETE GENERALE NEW YORK  
**SWIFT\BIC:** SOGEUS33

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 150371  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** CIVETTA NANJIA FUND COLL  
**Account\IBAN:** FR7630003056050300114466554

**British Pound – GBP**

**Correspondent:** BARCLAYS BANK LONDON  
**SWIFT\BIC:** BARCGB22

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 70327824  
**SORT CODE:** 203253  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** CIVETTA NANJIA FUND COLL  
**Account\IBAN:** FR7630003056050380114466550

**Euro - EUR**

**Correspondent:** SOCIETE GENERALE PARIS  
**SWIFT\BIC:** SOGEFRPP

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** CIVETTA NANJIA FUND COLL  
**Account\IBAN:** FR7630003056050000114466569

**Singapore Dollar**

**Correspondent:** DEVELOPMENT BANK SINGAPOUR  
**SWIFT\BIC:** DBSSSGSG

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 037-003347-2  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** CIVETTA NANJIA FUND COLL  
**Account\IBAN:** FR76300030560500114466544

**Subscription Information – XSE Fund**

Please pay subscription monies in the relevant class currency to the following account(s) referencing the name of the applicant

**U.S. Dollar**

**Correspondent:** SOCIETE GENERALE NEW YORK  
**SWIFT\BIC:** SOGEUS33

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 150371  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** NANJIA XSE FUND COLL  
**Account\IBAN:** FR7630003056050300114472374

**British Pound – GBP**

**Correspondent:** BARCLAYS BANK LONDON  
**SWIFT\BIC:** BARCGB22

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 70327824  
**SORT CODE:** 203253  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** NANJIA XSE FUND COLL  
**Account\IBAN:** FR7630003056050380114472370

**Euro - EUR**

**Correspondent:** SOCIETE GENERALE PARIS  
**SWIFT\BIC:** SOGEFRPP

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** NANJIA XSE FUND COLL  
**Account\IBAN:** FR7630003056050000114472389

**Singapore Dollar**

**Correspondent:** DEVELOPMENT BANK SINGAPOUR  
**SWIFT\BIC:** DBSSSGSG  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 037-003347-2

**Beneficiary:** NANJIA XSE FUND COLL  
**Account\IBAN:** FR7630003056050500114472364

**Subscription Information – CYRUS**

Please pay subscription monies in the relevant class currency to the following account(s) referencing the name of the applicant

**U.S. Dollar**

**Correspondent:** SOCIETE GENERALE NEW YORK  
**SWIFT\BIC:** SOGEUS33

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 150371  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** NANJIA CYRUS FUND COLL  
**Account\IBAN:** FR7630003056050300114484887

**British Pound – GBP**

**Correspondent:** BARCLAYS BANK LONDON  
**SWIFT\BIC:** BARCGB22

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 70327824  
**SORT CODE:** 203253  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**Beneficiary:** NANJIA CYRUS FUND COLL  
**Account\IBAN:** FR7630003056050380114484883

**Euro - EUR**

**Correspondent:** SOCIETE GENERALE PARIS  
**SWIFT\BIC:** SOGEFRPP

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**NAME\Beneficiary:** NANJIA CYRUS FUND COLL  
**Account\IBAN:** FR7630003056050000114484805

**Singapore Dollar**

**Correspondent:** DEVELOPMENT BANK SINGAPOUR  
**SWIFT\BIC:** DBSSSGSG

**Beneficiary Bank:** SGSS  
**SWIFT\BIC:** SOGEFRPPAFI  
**Account:** 037-003347-2  
**Address:** Société Générale Securities Services  
Perspective Défense - Bureau P03-301  
1-5, rue du Débarcadère - Bâtiment B  
92700 COLOMBES  
France

**NAME\Beneficiary:** NANJIA CYRUS FUND COLL  
**Account\IBAN:** FR7630003056050500114484877

**Please ensure that your bank quotes the details above in the electronic funds transfer to the appropriate bank.**

**Subscription monies must be received by wire transfer in cleared funds prior to the shares being issued as set out in the Prospectus.**

**Details of Investment**

<b>Details of Investment:</b>					
The Subscriber, having received and read a copy of the Prospectus of the Nanjia Capital ICAV (the "ICAV"), the Supplement(s) and the Key Investor Information Document in respect of the following sub-fund of the ICAV (please delete as necessary),					
<ul style="list-style-type: none"> <li>- XSE</li> <li>- Civetta Nanjia Fund</li> <li>- CYRUS</li> </ul>					
(the "Fund")					
hereby applies to invest in the ICAV, as indicated in the table below:					
Fund Name	Share Class	Currency (US\$, GBP, Euro, SG\$)*	Number of Shares	Value of Subscription	ISIN
XSE	F				
	I				
	S				
	R				
	J				
Civetta Nanjia Fund	F				
	I				
	S				
	R				
	J				
CYRUS	F				
	I				
	S				
	R				
	J				

Should you have any questions, please contact the Administrator,  
CSC Fund Administration (Ireland) Limited,  
3<sup>rd</sup> Floor Fleming Court, Fleming's Place, Dublin 4, Ireland  
Tel: +353 1 582 2463  
Fax: +353 1 686 5629  
Email: nanjiaucits@cscgfm.com

**Please note that if you are an existing investor in the ICAV, you only need to complete the form set out at Appendix II herein. If you are an existing investor in the ICAV and wish to redeem Shares, you only need to complete the form set at Appendix III herein.**

**Subscriber Details**

Registered Name	
Account Designation (if any)	
Shareholder Type <sup>1</sup>	
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)	
Source of Wealth (e.g. inheritance, income from employment, income from business activities)	
Registered Address PO or C/O will not be accepted	
Mailing Address (if different)	
Contact Name	
Telephone	
Email	
Facsimile	
Date of Birth / Formation Date (for entities)	
Nationality / Domicile	
Country of Birth	

Where Shares are proposed to be held by joint applicants, details of up to three additional holders may be added to the application. Please complete the details below in block capitals.

<sup>1</sup> eg. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

**Joint Subscriber(s)**

Details of up to 3 additional holders may be added to the application. Please complete details in block capitals below.

<b>First additional applicant</b>	
Registered Name	
Account Designation (if any)	
Shareholder Type <sup>2</sup>	
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)	
Source of Wealth (e.g. inheritance, income from employment, income from business activities)	
Registered Address PO or C/O will not be accepted	
Mailing Address (if different)	
Contact Name	
Telephone	
Email	
Facsimile	
Date of Birth / Formation Date (for entities)	
Nationality / Domicile	
Country of Birth	

<b>Second additional applicant</b>	
Registered Name	
Account Designation (if any)	
Shareholder Type <sup>2</sup>	
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)	
Source of Wealth (e.g. inheritance, income from employment, income from business activities)	
Registered Address PO or C/O will not be accepted	

<sup>2</sup> eg. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)



Nanjia Capital ICAV  
Subscription Agreement

Mailing Address (if different)	
Contact Name	
Telephone	
Email	
Facsimile	
Date of Birth / Formation Date (for entities)	
Nationality / Domicile	
Country of Birth	

<b>Third additional applicant</b>	
Registered Name	
Account Designation (if any)	
Shareholder Type <sup>2</sup>	
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)	
Source of Wealth (e.g. inheritance, income from employment, income from business activities)	
Registered Address PO or C/O will not be accepted	
Mailing Address (if different)	
Contact Name	
Telephone	
Email	
Facsimile	
Date of Birth / Formation Date (for entities)	
Nationality / Domicile	
Country of Birth	

Additional applicants will be required to provide all required documentation for anti-money laundering verification purposes.

**Beneficial Owners**

**Please complete this section where the registered Shareholder(s) is/are not a natural person**

A beneficial owner is considered by the ICAV to be an individual or corporate entity:

- (a) which ultimately owns or controls whether through direct or indirect ownership or control (including through bearer shareholdings) the shares or voting rights in the investor, or
- (b) otherwise exercises controls over the management of the investor.

**Please complete the below details in respect of any beneficial owner.**

Registered Name	
Address	
Entity Type <sup>3</sup>	
Date of Birth (if individual)	

Registered Name	
Address	
Entity Type <sup>3</sup>	
Date of Birth (if individual)	

Registered Name	
Address	
Entity Type <sup>3</sup>	
Date of Birth (if individual)	

Registered Name	
Address	
Entity Type <sup>3</sup>	
Date of Birth (if individual)	

<sup>3</sup> e.g. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

**Subscriber Details – Bank Accounts**

<b>Bank Account Details for Redemption and Distribution Payments</b>	
<p>Please list the details of the account to which redemption proceeds, and/or dividend distributions (if relevant) 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. Redemptions will not be processed on non-cleared/verified accounts.</p> <p>Both IBANS &amp; SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA.</p> <p>Amendments to Shareholders' payment instructions will only be effected upon receipt of an instruction which has been duly authorized. In the case of joint accounts, instructions will only be made upon receipt of instruction duly signed by all applicants.</p> <p>The Administrator does not accept any responsibility for the bank account details quoted and any payments made using these details will be at your risk.</p>	
<b>Correspondent Bank Name</b>	
<b>Correspondent Bank Address</b>	
<b>Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Bank Name</b>	
<b>Beneficiary Bank Address</b>	
<b>Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Account Name</b>	
<b>Beneficiary Account Number</b>	
<b>Currency</b>	
<b>Reference</b>	

Council Directive 2003/48/EC of 3 June 2003 (the "EU Savings Directive"), which deals with the taxation of savings income in the form of interest payments, seeks to ensure that an individual who is resident in a member state of the European Union (an "EU Member State") and who receives savings income from another EU Member State <sup>4</sup>, is taxed in the EU Member State in which he/she is resident for tax purposes. In this regard the ICAV is obliged to establish the identity and residence of such individuals.

**For completion by Subscribers who are tax resident outside the EU Member States**

The Subscriber confirms by ticking the box to the left that the Subscriber is not resident in an EU Member State and has not verified its identity for the purposes of the Fund money laundering verification requirements by use of an EU passport/official identity.

**Subscribers who are tax resident in the EU Member States should complete either Section (1) or Section (2) below:**

**Section 1:** This Section 1 is to be completed by a Subscriber resident in an EU Member State who is not a natural person (i.e., not an individual, unincorporated body, unincorporated partnership, or any of the foregoing acting as trustee of a trust):

- a. Is the Subscriber a legal person, e.g., an incorporated entity?  YES or  NO (please tick as applicable)
- b. Are the Subscriber's profits taxed under general arrangements for business taxation?  YES or  NO (please tick as applicable)
- c. Is the Subscriber a UCITS or has the Subscriber been issued a certificate by Subscriber's EU Member State allowing Subscriber to be treated as a UCITS for the purposes of the EU Savings Directive?  YES or  NO (please tick as applicable)

<sup>4</sup> Also applicable to residents of Switzerland, Andorra, Liechtenstein, Monaco, San Marion, Jersey, Guernsey, Isle of Man, Anquilla, Monterssar, British Virgin Islands, Turks and Caicos Islands, Cayman Islands, Netherlands Antilles, and Aruba. Accordingly any reference to EU Member State should be deemed to include these additional countries.

**Section 2:** This Section 2 is to be completed by natural person Subscribers (i.e., an individual, an unincorporated body, an unincorporated partnership, or any of the foregoing acting as a trustee of a trust) residing in an EU Member State or who, in completing the ICAV's money laundering verification requirements, have verified his/her identity by use of an EU Member State passport/official identity:

**A. Specify the EU Member State in which Subscriber is tax resident:** \_\_\_\_\_

**Please insert the Tax Identification Number ("TIN") issued to the Subscriber by that EU Member State:**  
\_\_\_\_\_

**B. Is the Subscriber's EU passport or official identity issued by the same EU Member State that appears in Subscriber's address in section 1? ?**  YES or  NO (please tick as applicable)

**C. Subscriber's date, place, and country of birth:** \_\_\_\_\_

*If the Subscriber answered YES to Section 1(c)(ii) above, the Subscriber must provide a certified copy of the certificate.*

*If the Subscriber answered NO to Section 2(b) above, then the Subscriber must provide a "certificate of residence for tax" issued by the Subscriber's local taxation authority, otherwise the Subscriber's EU residency will be decided and reported upon the basis of information contained in the Subscriber's passport/official identity card and/or other documentation provided for the purposes of satisfying the ICAV's money laundering verification requirements.*

Pursuant to the Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Regulations"), the ICAV is required to collect certain information from non-Excepted Share Holders. All Subscribers, whether individuals, bodies corporate or unincorporated bodies of persons, which are Irish resident or ordinarily resident should review the list of Excepted Share Holders set out below.

If the Subscriber is Irish resident or non-Irish resident and is not an Excepted Share Holder, please provide the following information and documentations:

Tax Identification Number (TIN) / PPS Number \_\_\_\_\_

<b>Excepted Share Holders</b>	<b>TCA 1997 reference</b>
The following entities will constitute Excepted Share Holders provided the ICAV has obtained a duly completed appropriate declaration:	
An investment undertaking	739D(6)(c)
An investment limited partnership	739D(6)(cc)
A pension scheme which is an exempt approved scheme	739D(6)a)
A company carrying on a life assurance business	739D(6)(b)
A special investment scheme	739D(6)(d)
A unit trust to which section 731(5) applies	739D(6)(e)
A charity	739D(6)(f)(i)
ARFs, AMRFs	739D(6)(h)
A qualifying fund manager	739D(6)(g)
A qualifying savings manager	739D(6)(g)
PRSA providers	739D(6)(i)
The National Pensions Reserve Fund	739D(6)(l)
The National Asset Management Agency	739D(6)(ka)
A Section 110 Company	739D(6)m)
A Credit Union	739D(6)(j)
An Irish resident company but only where the Fund is a money market fund	739D(6)(k)
A non-Irish resident unit holder in respect of whom the Fund has obtained a completed non-resident declaration or where the Fund has adopted the Equivalent Measures Regime	739D(7) 739D(7B)
A holder who holds their Shares in a recognized clearing system	739B

### **Politically Exposed Persons**

Please complete **EITHER** Section A or B below, with reference to the definitions below

A **Politically-Exposed Person** ("**PEP**") is an individual who has at any time in the preceding 12 months been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

- "specified official";
- a member of the administrative, management or supervisory body of a state-owned enterprise.

A "**specified official**" is (including any such officials in an institution of the European Communities or an international body):

- a head of state, head of government, government minister or deputy or assistant government minister;
- a member of a parliament;
- a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- a member of a court of auditors or of the board of a central bank;
- an ambassador, chargé d'affairs or high-ranking officer in the armed forces.

An "**immediate family member**" of a PEP includes any of the following persons:

- any spouse of the PEP;
- any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- any child of the PEP;
- any spouse of a child of the PEP;
- any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- any parent of the PEP;
- any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A "**close associate**" of a PEP includes any of the following persons:

- any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP;
- any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a "**beneficial owner**" of a body corporate is any individual who (other than a company having securities listed on a regulated market):

- i. ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), the shares or voting rights of the body; or
- ii. otherwise exercises control over the management of the body.

**Section A: To be completed only if the PEP Rules apply with reference to the above definitions**

The application is being made by a PEP / immediate family member of a PEP / close associate of a PEP  OR  The Subscriber has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP  OR  The application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP  OR  It is intended to transfer the Shares to a PEP / immediate family member of a PEP			
Name of PEP		Address of PEP	
Office of PEP		Relationship of Subscriber or Subscriber's Beneficial Owner to PEP	
Source of Wealth of the PEP (e.g. Income from employment, Income from company business, inheritance, etc)			

**US Persons**

**US Person Confirmation**

Please tick

Please confirm one of the statements below is correct by ticking the relevant box:

I/We confirm that I am/we are not a US Person **(as defined in the Prospectus)** and am/are not acquiring Shares in the Fund on behalf of, or for the benefit of, a US Person, nor do I/we intend to transfer any Shares which I/we may purchase to any US Person

OR

I/we confirm that I am /we are a US Person **(as defined in the Prospectus)** who is/are both (i) an "accredited investor" (as defined in Rule 501(a) of Regulation D under the 1933 Act) and a (ii) "qualified eligible person" (as defined in CFTC Regulation 4.7).

**Personal Portfolio Investment Undertaking ("PPIU")**

\*I/We confirm that \*I am/we are an Irish Resident or Irish Ordinary Resident who is a director or has a relationship with a director of the fund.

Please enter name(s) of PPIU \_\_\_\_\_

*\*Delete as appropriate*



**Declarations and Undertakings**

- i. By signing this Subscription Agreement, I/we acknowledge that \*I/we have viewed, reviewed and understood the Key Investor Information Document (KIID) applicable to the relevant Share class(es) to which this Subscription Agreement relates in good time and prior to making an application for Shares of such Class(es).
- ii. I/We, having received and considered a copy of the Prospectus, the relevant Supplements, and the KIID applicable to the Fund, hereby confirm that this application is based solely on the current Prospectus, Supplement, and KIID, and the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the ICAV.
- iii. I/We undertake to observe and be bound by the provisions of the Instrument of Incorporation of the ICAV (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).
- iv. I/We acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the ICAV, its Directors, the Administrator, the Manager, the Investment Manager and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before the application can be processed and the ICAV, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested by the parties referred to and has not been provided by me/us.
- v. I/We hereby authorize the Administrator to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me/us in written form, by facsimile or by electronic means. I/We hereby agree to indemnify each of the Administrator, Manager, Investment Manager and the ICAV and any of their respective affiliates and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of my/our failure to remit the amount of my subscription by the due date or my/our failure to comply with the terms of this Subscription Agreement or them acting upon instructions given in written form by me/us, i.e. facsimile or email. The Administrator and the ICAV may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorized persons.
- vi. I/We consent to any notice or other document to be sent by the ICAV or the Administrator to me/us as a Shareholder, by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to me/us by post or by e-mail.
- vii. I/We confirm that I/we have the capacity and am/are duly authorized to complete this form and to make the representations and give the indemnities referred to herein, and that I am/we are in compliance in all material respects with all applicable laws or regulations of any competent jurisdiction.
- viii. I/We agree to provide these representations to the ICAV and its Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the ICAV and/or its Directors may reasonably require to substantiate such representations.
- ix. **(In respect of joint shareholdings only).** We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor (s) of us or the executor or administrator of such survivor(s)
- x. I/ We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Fund by me/us shall be governed by them, and I/we agree to notify the ICAV or the Administrator immediately, if any representation or warranty are no longer accurate and to abide by any directions from the ICAV or the Administrator arising as a result.
- xi. I/We confirm that being a person I am/ We are over 18 years of age.
- xii. I/We hereby certify that I am/we are aware of the risks involved in the proposed investment as set out in the Prospectus and any Supplement. I/We confirm that I am/we are in agreement with the distribution policy as outlined in the Prospectus.
- xiii. I/We declare that the information contained in the declarations completed above is true and correct.
- xiv. I/We have consulted to the extent I/we have determined appropriate with my/our own independent advisors as to the financial, tax, legal and related matters concerning an investment in the Shares and on that basis believe that an investment in the Shares is suitable and appropriate for me/us.

- xv. Immediately prior to the execution of this Subscription Agreement: (a) I/we personally possess sufficient knowledge and experience in financial and business matters (including experience with investments of a similar nature to investments of the ICAV and the Fund) to be capable of evaluating the merits and risks of an investment in the Shares; and (b) I/we and any account for which I/we may be acting have sufficient financial risk to be able to bear the economic risk of complete loss of my/our investments in the Shares.
- xvi. I/we undertake to supply to the ICAV with; (a) such forms, documentation and other information relating to its status under FATCA, the Common Reporting Standard, or any other similar regime or legislation (cumulatively, "exchange of information regimes") as the ICAV may reasonably request for the purposes of the ICAV's compliance with exchange of information regimes including the applicable FATCA self-certifications in this Subscription Agreement; and (b) such forms, documentation and other information relating to its status as the ICAV may reasonably request for the purposes of the ICAV's compliance with any other law, regulation, or exchange of information regime.
- xvii. I/We acknowledge that, depending on my/our status under FATCA, or any exchange of information regime, the ICAV may report information in relation to the me/us and my/our Shares to the Irish Revenue Commissioners and that any information reported by the ICAV to the Irish Revenue Commissioners may be communicated to the tax authorities of other relevant jurisdictions, including the US Internal Revenue Service pursuant to Ireland's intergovernmental agreement with the United States of America in relation to FATCA and other jurisdictions in respect of exchange of information regimes. I/we also acknowledge that it is possible that the Irish Revenue Commissioners may also exchange such information with other tax authorities pursuant to the terms of any applicable double tax treaty, intergovernmental agreement or exchange of information regime.

#### **Additional declarations for Subscribers resident outside the Republic of Ireland**

Subscribers resident outside the Republic of Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorized 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. Please select either A or B

#### **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 an Irish Resident or Irish Ordinary Resident, and should I/we/the company\* become an Irish Resident, I/we will so inform you, in writing, accordingly.

\*Delete as appropriate

#### **B Declaration as Intermediary**

- i. 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 an Irish Resident or Irish Ordinary Resident, and
- ii. I/ we\* also declare that unless I/we\* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us\* from the date of this application will be made on behalf of such persons; and I/we\* will inform you in writing if I/we\* become aware that any person, on whose behalf I/we\* hold Shares, becomes an Irish Resident.

\*Delete as appropriate

#### **Due Diligence Documentation- Leverage Across Investments**

I hereby authorise CSC to leverage the documentation of due diligence as well as FATCA and CRS self-certification provided for the purposes of compliance with applicable regulatory requirements across all investments which I currently hold/ may hold in the future across all funds which are administered by CSC.

**Authorization**

I/We agree to be bound by the Declarations, Representations, Consents and Indemnities set out in this Subscription Agreement

**Signature (1)** \_\_\_\_\_

Capacity of Signature \_\_\_\_\_

Name Authorized Signatory (1) \_\_\_\_\_

Is Signatory a resident or citizen of the US: Yes / No (delete as appropriate)

**Signature (2)** \_\_\_\_\_

Capacity of Authorized Signatory \_\_\_\_\_

Name Authorized Signatory (2) \_\_\_\_\_

Is Signatory a resident or citizen of the US: Yes / No (delete as appropriate)

**Signature (3)** \_\_\_\_\_

Capacity of Authorized Signatory \_\_\_\_\_

Name Authorized Signatory (3) \_\_\_\_\_

Is Signatory a resident or citizen of the US: Yes / No (delete as appropriate)

**Signature (4)** \_\_\_\_\_

Capacity of Authorized Signatory \_\_\_\_\_

Name Authorized Signatory (4) \_\_\_\_\_

Is Signatory a resident or citizen of the US: \_Yes / No (delete as appropriate)

**Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.**

**To be valid, this Subscription Agreement (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant and in the case of joint applicants, each must sign. In the case of a corporation, the application must be signed by authorized signatories as agreed in the corporate signing mandate.**

**If the Subscription Agreement (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.**

**Subscribers who are resident or ordinarily resident in the Republic of Ireland or are an Exempt Irish resident as defined in the Prospectus, please contact the Administrator immediately.**

### **Anti-Money Laundering and KYC**

#### **General**

Measures provided for in the Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2018 which are aimed towards the prevention of money laundering, require detailed verification of each applicant's identity, address and depending on the status of the applicant, source of wealth and the supporting documentation for the source of wealth. For example an individual will be required to produce a copy of his/her passport or identification card that bears evidence of the individuals' identity, date of birth and signature duly certified by a notary public or other person specified in the Subscription Agreement together with up to two different original/certified documents bearing evidence of the individual's address such as a utility bill or bank statement which are not older than six months old. The source of wealth and the supporting documentation is required for applicants where enhanced due diligence is required. The documentation required in respect of corporate applicants will be dependent on the country of incorporation or creation. Certified constituting, constitutional and verification documentation in respect of the beneficial owners may be required in certain cases.

Depending on the circumstances of each application, a detailed verification may not be required where (a) the investor is a regulated credit or financial institution, or (b) the application is made through a regulated financial intermediary. These exceptions will only apply if the financial institution or intermediary referred to above is located in a country which has equivalent anti-money laundering legislation to that in place in Ireland. Applicants may contact the Administrator in order to determine whether they meet the above exceptions.

The Administrator reserves the right to request such information and documentation as is necessary to identify, verify the source of wealth and supporting documentation for the source of wealth of an applicant. In the event of delay or failure by the applicant to produce any information and documentation required for verification purposes, the Administrator may not process the application and return all subscription monies and/or payment of redemption proceeds may be delayed and none of the ICAV, the relevant Fund, the Directors, the Depositary, the Manager, the Investment Manager or the Administrator shall be liable to the subscriber or Shareholder where an application for Shares is not processed in such circumstances. If an application is rejected by the Client, the Administrator will return application monies or the balance thereof by telegraphic transfer in accordance with any applicable laws to the account from which it was paid at the cost and risk of the applicant. The Administrator may refuse to pay redemption proceeds where the requisite information and documentation for verification purposes has not been produced by a Shareholder.

Each subscriber and Shareholder will be required to make such representations as may be required by the Fund in connection with applicable anti-money laundering programs, including representations that such subscriber or Shareholder is not a prohibited country, territory, individual or entity listed on the United States Department of Treasury's Office of Foreign Assets Control ("OFAC") website and that it is not directly or indirectly affiliated with any country, territory, individual or entity named on an OFAC list or prohibited by any OFAC sanctions programs. Such subscriber or Shareholder shall also represent that amounts contributed by it to the Fund were not directly or indirectly derived from activities that may contravene U.S. Federal, State or international laws and regulations, including any applicable anti-money laundering laws and regulations. Each applicant will also be required to represent that it is not listed or directly or indirectly affiliated with any person, group or entity listed on the European Union consolidated list of persons, groups and entities that are subject to Common Foreign and Security Policy ("CFSP") related financial sanctions, which can be found on the European Commission's website, and that it is not subject to any CFSP sanctions programs. Each applicant will be required to represent that subscription monies are not directly or indirectly derived from activities that may contravene United States Federal or State, or international, or European Union laws and regulations including, in each case, anti-money laundering laws and regulations.

The Administrator may disclose information regarding investors to such parties (e.g., affiliates, attorneys, auditors, administrators or regulators) as it deems necessary or advisable to facilitate the transfer of the Shares, including but not limited to being in connection with anti-money laundering and similar laws. The Administrator or other service providers may also release information if directed to do so by the investors in the Shares, if compelled to do so by law or in connection with any government or self-regulatory organization request or investigation. In connection with the establishment of anti-money laundering procedures, the Directors may implement additional restrictions on the transfer of Shares.

The Directors and the Administrator may impose additional requirements from time to time to comply with all applicable anti-money laundering laws and regulations, including the USA Patriot Act.

### **Automatic Exchange of Information**

#### **Data Protection - CRS**

Your application to invest in the Fund, and the information you disclose in this Subscription Agreement, is subject to the Standard for Automatic Exchange of Financial Account Information in Tax Matters (the Common Reporting Standard, or "CRS"). Ireland is a participating jurisdiction in the CRS. Accordingly, we are required to report certain information in relation to you, in particular your tax residency status and Tax Identification Number (TIN) (which you are required to provide in Bank Account Details for Redemption and Distribution Payments section of the form), to the Irish Revenue Commissioners. This is the case even where you are not resident in a jurisdiction that is participating in the CRS.

The purpose of data-sharing under the CRS is to facilitate the cross-border enforcement and collection of tax. You should note that the information reported by us to the Irish Revenue Commissioners in respect of you may be shared with other tax authorities who are participants in the CRS.

For more information on the CRS, please see the relevant webpage on the Irish Revenue Commissioner's website: <http://www.revenue.ie/en/business/aeoi/index.html>

#### **FATCA and CRS Self-Certification**

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

**Individual (Controlling Person's) Self-Certification**

*If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.*

*For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.*

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

Please note that where there are joint or multiple account holders each investor is required to complete a separate Self-Certification form.

**Sections 1, 2, 3 and 5 must be completed by all investors.**

Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non- Financial Entity. For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

**(Mandatory fields are marked with an \*)**

**Section 1: Investor Identification**

**Investor Name\*:** \_\_\_\_\_

**Current Residential Address\*:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State., Province or Country \_\_\_\_\_

Postal/ZIP Code \_\_\_\_\_ Country \_\_\_\_\_

**Mailing address (if different from above)\*:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State., Province or Country \_\_\_\_\_

Postal/ZIP Code \_\_\_\_\_ Country \_\_\_\_\_

Town or City of Birth\* \_\_\_\_\_ County of Birth \* \_\_\_\_\_

**Place of Birth\*** \_\_\_\_\_

Date of Birth\*: \_\_\_\_\_

**Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes\*:**

Please tick either (a) or (b) and complete as appropriate.

(a)  I confirm that [I am ]/ [the investor is] a U.S. citizen and/ or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

**OR**

(b)  I confirm that [I am not] / [the investor is not] a U.S. citizen or resident in the U.S. for tax purposes.

**Section 3: CRS Declaration of Tax Residency (please note you may chose more than one country)\***

Please indicate your/ the investor’s country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers (“TIN”). Please see the CRS Portal for more information on Tax Residency.

Country of Tax Residency	Tax ID Number

**NOTE:** Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a TIN.

**Section 4 – Type of Controlling Person**

*This section is ONLY to be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.*

For joint or multiple Controlling Persons please complete a separate Self-Certification form for each Controlling Person

Please confirm what type of Controlling Person applicable under CRS that applies to you/the investor by ticking the appropriate box.	Please tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor- equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		

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Controlling Person of a legal arrangement (non-trust) - protector-equivalent		
Controlling Person of a legal arrangement (non-trust) - beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) - other-equivalent		

**Section 5: Declaration and Undertakings:**

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Subscriber may be reported to the tax authorities of the Republic of Ireland and exchanged with tax authorities of another country or countries in which the Subscriber may be tax resident where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information.

I undertake to advise the Administrator promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorized Signature\*: \_\_\_\_\_

Print Name\*: \_\_\_\_\_

Date (dd/mm/yyyy)\*: \_\_\_\_\_

Capacity\*: \_\_\_\_\_



**Entity Self-Certification**

If you have any questions about this form or defining the investor's tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly

(Mandatory fields are marked with an \*)

**Investors that are individuals should not complete this form and should complete the form entitled "Individual Self-Certification for FATCA and CRS".**

**Section 1: Investor Identification**

**Investor Name\*** \_\_\_\_\_ (the "Entity")

**Country of Incorporation or Organization** \_\_\_\_\_

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State., Province or Country: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**Current Registered Address\*:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State., Province or Country: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**Section 2: FATCA Declaration Specified U.S. Person:**

Please tick either (a), (b) or (c) below and complete as appropriate.

a)  The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

**U.S. TIN:** \_\_\_\_\_

**Or**

b)  The Entity is not a Specified U.S. Person (please also complete Sections 3, 4 and 5)

**Or**

c)  The Entity is a US person but not a Specified U.S. Person (please also complete Sections 3, 4 and 5).

**Section 3: Entity's FATCA Classification\*** (the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5):

**3.1 Financial Institutions under FATCA:**

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	
II.	<i>Registered Deemed Compliant Foreign Financial Institution</i>	
III.	<i>Participating Foreign Financial Institution</i>	

**3.2** Please provide the Entity's *Global Intermediary Identification number (GIIN)* \_\_\_\_\_

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

I.	<i>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN</i> <i>Please provide the sponsor's name and sponsor's GIIN:</i>  <i>Sponsor's Name:</i> _____  <i>Sponsor's GIIN:</i> _____	
II.	<i>Exempt Beneficial Owner</i>	
III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

**3.4 Non-Financial Institutions under FATCA:**

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

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity (If this box is ticked, please include self-certification forms for each of your Controlling Persons)</i>	
III.	<i>Excepted Non-Financial Foreign Entity</i>	

**Section 4: CRS Declaration of Tax Residency (please note that you may choose more than one country)\***

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")).

**NOTE:** Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN).

Country of Tax Residency	Tax ID Number

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

**Section 5: Entity's CRS Classification\*** (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3):

For more information please see the CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**5.1 Financial Institutions under CRS:**

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

I.	<i>Financial Institution under CRS (other than (II) below)</i>	
II.	<i>An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification forms for each of your Controlling Persons **)</i>	

**5.2 Non Financial Institutions under CRS:**

If the Entity is a Non-Financial Institution, please tick one of the below categories

I.	<i>Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation</i>	
II.	<i>Active Non-Financial Entity – a Government Entity or Central Bank</i>	
III.	<i>Active Non-Financial Entity – an International Organization</i>	
IV.	<i>Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)</i>	
V.	<i>Passive Non-Financial Entity (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s))</i>	

**\*\*Controlling Persons:**

**NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form.**

**If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.**

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.*

*<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>*

**6 Declarations and Undertakings**

I/We declare (as an authorized signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I acknowledge that the information contained in this form and information regarding the Subscriber may be reported to the tax authorities of the Republic of Ireland and exchanged with tax authorities of another country or countries in which the Subscriber may be tax resident where those countries (or tax authorities in those countries) have entered into agreements to exchange financial account information.

I/We undertake to advise the recipient promptly and provide an updated Self-Certification where any change in circumstance occurs which causes any of the information contained in this form to be incorrect.

Authorized Signature(s)\*:

\_\_\_\_\_

Print Name(s)\*: \_\_\_\_\_

\_\_\_\_\_

Capacity in which declaration is made\*: \_\_\_\_\_

\_\_\_\_\_

Date: (dd/mm/yyyy):\* \_\_\_\_\_

# Appendix I: Investor Due Diligence Requirements

## Due Diligence Documentation

Due Diligence Documentary Requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010 – 2018.

### 1. Guide to completing this form.

**Part I** - This section must be completed by all applicants.

**Part II** - Please provide the documentation required for anti-money laundering and customer identification requirements (the “**AML Documentation**”) outlined in this section. An account will not be opened until the AML Documentation has been provided.

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## AML Documentation- Requirements

### Part I – All Investors

Please tick investor type below (Please note, investor type indicates the documents required to open account):

Individual / Joint Account Holder

Charity

Trust

Partnership

Private Company

Pension Fund

Public Body

Nominee/Intermediary/Agent

Public Limited Company

Other-

Please specify: \_\_\_\_\_

**If you, or any Ultimate Beneficial Owners\*, are a PEP\*\* or an immediate family member\*\*\* or close associate\*\*\*\* of a PEP, please check the box.**

\*“**Ultimate Beneficial Owners**” are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or otherwise exercise control of the entity.

\*\*A “**PEP**” is defined as an individual who is, or has been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

- (a) a specified official
- (b) a member of the administrative, management or supervisory body of a state-owned enterprise.

A “**specified official**” is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body):

- (a) a head of state, head of government, government minister or deputy or assistant government minister;
- (b) a member of a parliament;
- (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- (d) a member of a court of auditors or of the board of a central bank;
- (e) an ambassador, chargé d’affaires or high-ranking officer in the armed forces;
- (f) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

\*\*\*An “**immediate family member**” includes any spouse, child, spouse of a child, parent or other family member of the PEP or any person considered to be equivalent to a spouse or spouse of a child of the PEP under the national or other law of the place where the person or child resides

\*\*\*\*A “**close associate**” of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of the PEP.

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## AML Documentation- Requirements

### Part II – AML Documentation

**All investors are requested to provide the documents listed below, depending on the type of investor they are and whether they are located in a High Risk Jurisdiction (as defined below). Please note that the Fund, the investment manager of the Fund, the manager of the Fund, and the Administrator each reserves the right to request such further information and documents as is necessary to verify the identity of an investor and the source of the payment / and the identity of the investor's beneficial owners or associates from time to time.**

**Investors are required to provide all documents listed under the applicable investor category.**

Please note that the for the purposes of this Part II, the following countries are deemed low risk (“**Low Risk Jurisdictions**”):

EU Member States and United States of America, Canada, Chile, Hong Kong, Iceland, Japan, Bhutan, New Zealand, Norway, Singapore, Switzerland, United Arab Emirates, United Kingdom and Uruguay.

Please note that the for the purposes of this Part II, the following countries are deemed high risk (“**High Risk Jurisdictions**”):

Third country jurisdictions which have deficiencies in their national AML/CTF regimes that pose significant threats to the EU’s financial system as identified in the Commission Delegated Regulation (EU) 2016/1675 and noted on the FATF high risk and other monitored jurisdictions.

**Note: CSC reviews the risks associated with all locations on a regular basis. The risk associated with a location may change over time. CSC reserves the right to apply a different risk rating than shown in this document.**

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## Individuals (including Joint Account Holders)

I/We declare that I am a/we are private investor(s) who is/are making this application on my/our own behalf and not in any way as representative(s) of any other party.

**Please supply the following:**

1. Certified copy of your passport, national identity card or ID issued by a Government body showing the photograph and signature; and
2. One form of address verification; (can be an original or certified copy of a utility bill no greater than 6 months old; **OR** an original or certified copy of a bank statement no greater than 6 months old).

Where the applicant is domiciled in a High Risk Jurisdiction or falls within the definition of a PEP, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Additional form of address verification (similar to point 2 above);
2. Confirmation of source of funds; and
3. Confirmation of source of wealth (please see Appendix A).

In the case of joints account holders, please provide documents in respect of all holders.

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## Charity

**Please supply the following:**

1. Registered office and principal business address (where different);



2. Certified copy or original of the authorised signatory list;
3. Certified copy of constitutional/ formation document;
4. Copy of relevant charities register or confirmation of the registration of the charity with the relevant tax authorities (e.g. Revenue, UK Charities Commission/ HMRC);
5. Confirmation of the nature and purpose of the charity;
6. Confirmation of the nature of the funding of the charity;
7. Certified copy or original of the appropriate authorised mandate for directors to open/ operate the account;
8. Verification of the identity of at least 2 directors and all persons authorised to operate the account:  
*Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and one form of address verification; (can be an original or certified copy of a utility bill no greater than 6 months old; **OR** an original or certified copy of a bank statement no greater than 6 months old).*

Where the applicant is not a registered charity or where the applicant is domiciled in a High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Verification of the identity of either 2 of the trustees/ directors/ governors/ board members/ equivalent or 1 authorised signatory and 1 of the aforementioned: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification (can be original or certified copies of 2 different utility bills no greater than 6 months old; **OR** original or certified copy of utility bill and bank statement no greater than 6 months old); or if not an individual, identification documentation per legal form;*
2. Certified copies of the latest audited financial statements;
3. Confirmation of source of funds.

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## Trust

**Please supply the following:**

1. Registered address of the trust;
2. Certified copy of the trust deed or equivalent;
3. Confirmation of the nature and purpose of trust;
4. Certified copy or original of the appropriate authorised mandate for the trustees to open/ operate the account;
5. Certified copy or original of the authorised signatory list of the trust;
6. Certified copy of register of the Ultimate Beneficial Owners\*, if not already provided for in trust deed;
7. Verification of the identity of the trustee (if only one) or at least 2 trustees (if more than one):  
*Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and 1 form of address verification (original or certified copy of utility bill or bank statement no greater than 6 months old); or if not an individual, identification documentation per legal form.*

\* For Trusts or similar arrangements, Ultimate Beneficial Owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any).

Where the applicant is domiciled in a High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Verification of the identity of the remaining Ultimate Beneficial Owners: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; OR original or certified copy of utility bill and bank statement no greater than 6 months old); and*
2. Confirmation of source of funds.

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## Partnership

**Please supply the following:**

1. Registered address and principal business address of the partnership.;
2. Certified copy of the partnership agreement;
3. Certified copy or original of the appropriate authorised mandate for the general partner or partners (as applicable) to open/ operate the account;
4. Certified copy or original of authorised signatory list;
5. Certified copy of register or schedule of partners;
6. Verification of the identity of the general partner or 2 partners: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and 1 form of address verification (original or certified copy of utility bill or bank statement no greater than 6 months old); or if not an individual, identification documentation per legal form; and*
7. Evidence of Ownership until Ultimate Beneficial Owners identified (e.g. Notarised Organisational Chart showing each layer of ownership and Ultimate Beneficial Owners).

Where the applicant is located in a High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Verification of the identity of any Ultimate Beneficial Owner: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; OR original or certified copy of utility bill and bank statement no greater than 6 months old); and*
2. Confirmation of source of funds.

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## Private Company

We hereby declare that the corporation was duly registered on .....(date) under the laws of ..... (country) and that it is not a financial intermediary.

**Please supply the following:**

1. Registered address and principal business address ;
2. Certified copy of the Certificate of Incorporation or Certificate to Trade or equivalent;
3. Certified copy of Memorandum and Articles of Association, Byelaws or equivalent;
4. Certified copy or original of the appropriate authorised mandate for the Directors to open/ operate the account;
5. Certified copy or original authorised signatory list;
6. Certified copy of register of directors to include a list of all directors' names, occupations, residential and business addresses and dates of birth; and
7. Evidence of Ownership until Ultimate Beneficial Owners identified (e.g. Notarised Organisational Chart showing each layer of ownership and Ultimate Beneficial Owners).

Where the applicant is domiciled in a High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Verification of the identity of at least 2 directors and all persons authorised to operate the account: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; **OR** original or certified copy of utility bill and bank statement no greater than 6 months old);*
2. Verification of the identity of any Ultimate Beneficial Owner: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; **OR** original or certified copy of utility bill and bank statement no greater than 6 months old); and*
3. Confirmation of source of funds.

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## **Pension Fund**

**Please supply the following:**

1. Pension Regulator approval (i.e. Revenue Commissioner or HMRC etc);
2. Registered office address;
3. Certified copy or original of the authorised mandate for the directors to open/ operate the account;
4. Certified copy of constitution of the subscriber or other suitable documentation to establish the legitimate purpose of the subscriber (trust deed, scheme particulars or equivalent);
5. Certified copy or original authorised signatory list;
6. Details of trustees/ directors / governors;
4. Verification of the identity of at least 2 directors and all persons authorised to operate the account: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and 1 form of address verification (original or certified copy of utility bill or bank statement no greater than 6 months old) and*

7. Verification of the identity of the trustee (if only one) or at least 2 trustees (if more than one):  
*Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and 1 form of address verification (original or certified copy of utility bill or bank statement no greater than 6 months old); or if not an individual, identification documentation per legal form.*

Where the applicant is domiciled in High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Identify and verification of the identity of the scheme administrator and entity carrying out AML/CTF controls on scheme investors (per legal form); and/ or written confirmation from the entity carrying out AML/CTF controls similar to that requested from a regulated third party undertaking due diligence; and /or the procedures of the entity carrying out AML/CTF controls on scheme investors; and
2. Confirmation of source of funds.

**List of Trustees / Directors / Governors**

<u>Full Name &amp; Address</u>	<u>Position (e.g. trustee, director, governor)</u>	Citizenship (for Individuals) or Principal Place of <u>Business (for Entities)</u>

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**Public Body**

**Please supply the following:**

1. Registered office and principal business address;
2. Details of trustees/ directors/ officials or equivalent;
3. Details of all beneficiaries;
4. Details of any Ultimate Beneficial Owner (where applicable);
5. Certified copy of constitution of the subscriber or other suitable documentation to establish the legitimate purpose of the subscriber (trust deed, scheme particulars or equivalent);
6. Certified copy or original of the authorised mandate for the directors to open/ operate the account;
7. Certified copy or original authorised signatory list;
5. Verification of the identity of at least 2 directors and all persons authorised to operate the account:  
*Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and*

signature; and 1 form of address verification; (original or certified copy of utility bill or bank statement no greater than 6 months old) and

6. Verification of the identity of at least 2 public body officials: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and 1 form of address verification; (original or certified copy of utility bill or bank statement no greater than 6 months old) \**.

\*This will not be required where the applicant located in a Low Risk Country (or where the applicant is otherwise considered low risk by the Administrator).

Where the applicant is domiciled in a High Risk Jurisdiction, the following is also required (and may be requested by the Administrator in other circumstances where the Administrator considers the Applicant to be high risk):

1. Certified copy of the latest audited financial statements;
2. Verification of the identity of any Ultimate Beneficial Owner: *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; OR original or certified copy of utility bill and bank statement no greater than 6 months old); and*
3. Confirmation of source of funds.

**List of Trustees / Directors / Officials / Beneficiaries / Ultimate Beneficial Owners**

<u>Full Name &amp; Address</u>	<u>Position (e.g. trustees / directors / officials / beneficiaries / Ultimate Beneficial Owners)</u>	Citizenship (for Individuals) or Principal Place of Business (for Entities)

**Nominees/Intermediaries/Agents**

**Please supply the following:**

1. Original or certified copy of authorised signatory list to include the appropriate mandate to operate the account;
2. If part of a regulated entity:
  - a) Name of Regulated entity;
  - b) Registration/License number/reference; and

c) Name of Regulator.

**For a regulated entity introducing nominee/agent/intermediary accounts subject to direct AML practices:**

(a) Where the regulated parent company is located in a Low Risk Country:

1. Nominee/intermediaries/agent letter completed by regulated parent entity (see Appendix B).

(b) Where the parent company is located in a non-Low Risk County:

1. Nominee/intermediaries/agent letter completed by regulated parent entity (see Appendix B);
2. Copy of introducers AML policy/procedure; and
3. Latest set of audited accounts/ or original/certified copy of certificate of good standing.

**For an entity introducing nominee accounts which is not directly regulated for AML purposes:**

(a) Where the regulated parent company is located in a Low Risk Country:

1. Nominee/intermediaries/agent letter completed by regulated parent entity (see Appendix C)

(b) Where the parent company is located in a non-Low Risk County:

1. Nominee/intermediaries/agent letter completed by regulated parent entity (see Appendix C);
2. Copy of introducers AML policy/procedure; and
3. Latest set of audited accounts/ or original/certified copy of certificate of good standing.

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## Listed Company

**Please supply the following:**

1. Registered office and principal business address;
2. Certified copy of register of directors to include a list of all directors' names, occupations, residential and business addresses and dates of birth;
3. Original or certified copy of authorised signatory list to include the appropriate mandate to operate the account;
4. Proof of Stock Exchange Listing; and
5. Latest set of audited accounts.\*

\*This will not be required where the applicant located in a Low Risk Country (or where the applicant is otherwise considered low risk by the Administrator).

Where the applicant is domiciled in an aforementioned High Risk Jurisdiction, the following is also

required (and may be requested by the Administrator in other circumstances where the applicant is considered high risk):

1. Confirmation of source of funds; and
2. Verification of the identity of at least 2 directors *Certified copy of a passport, national identity card or ID issued by a Government body showing the photograph and signature; and up to 2 forms of address verification; (can be original or certified copies of 2 different utility bills no greater than 6 months old; **OR** original or certified copy of utility bill and bank statement no greater than 6 months old).*

## APPENDIX II

### SUBSEQUENT (REPEAT) APPLICATION FORM

**This Application Form is for investors wishing to subscribe for additional shares in the Fund indicated below.**

**Subsequent subscriptions for Shares are made based on the terms of the Instrument of Incorporation, the Prospectus, the KIID, and the terms and conditions (including any representations and warranties) in the Subscription Agreement, as well as being subject to satisfactory receipt by the ICAV and/or Administrator, of any further information or documentation as the ICAV and/or Administrator may require.**

The completed Subsequent (Repeat) Application Form should be posted, sent by email or by facsimile (with the original form to follow) to the Administrator at the address below. Instructions to deal must be received by the Administrator by the Dealing Deadline set out in the Prospectus and Supplement for the relevant Fund. Instructions received after the relevant Dealing Deadline will be held over and processed to the next Dealing Day.

#### **ADDRESS FOR DOCUMENTATION**

**Attention:**

**NANJIA CAPITAL ICAV**

CSC Fund Administration (Ireland) Limited

3<sup>rd</sup> Floor Fleming Court,

Fleming's Place,

Dublin 4, Ireland.

Tel: +353 1 582 2463

Fax: +353 1 686 5629

Email: Nanjiaucits@cscgfm.com

**Details of Investment:**

The Subscriber, having received and read a copy of the Prospectus of the Nanjia Capital ICAV (the "ICAV"), the Supplement(s) and the Key Investor Information Document in respect of the following sub-fund of the ICAV (please delete as necessary),

- XSE
- Civetta Nanjia Fund
- CYRUS

(the "Fund")

hereby applies to invest in the ICAV, as indicated in the table below:

Fund Name	Share Class	Currency (US\$, GBP, Euro, SG\$)	Number of Shares	Value of Subscription	ISIN
XSE	F				
	I				
	S				
	R				
	J				
Civetta Nanjia Fund	F				
	I				
	S				
	R				
	J				



Fund Name	Share Class	Currency (US\$, GBP, Euro, SG\$)	Number of Shares	Value of Subscription	ISIN
CYRUS	F				
	I				
	S				
	R				
	J				

I/we hereby subscribe(s) for the additional amount set out above upon the terms and conditions described in the Prospectus. I/we restate(s) all of the declarations made in the original Subscription Agreement ("Original Application") and certify that all of the information in the Original Application remains accurate and complete.

**Signature:**

**Signature:**

**Print name:**

**Print name:**

Position (only if signing on behalf of the beneficial owner)

Date:

Date:

**APPENDIX III**

**REDEMPTION FORM**

**This Redemption Form is for client(s) redeeming Shares from the Fund(s) below.**

This completed Redemption Form should be posted, sent by email or by facsimile (with the original form to follow) to the Administrator at the address below no later than the Dealing Deadline. Redemptions will not be processed on non-cleared/verified accounts. Instructions received after the Dealing Deadline will be held over and processed to the next Dealing Day.

**ADDRESS FOR DOCUMENTATION**

**Attention:**

**NANJIA CAPITAL ICAV**

CSC Fund Administration (Ireland) Limited

3<sup>rd</sup> Floor Fleming Court,

Fleming's Place,

Dublin 4, Ireland.

Tel: +353 1 582 2463

Fax: +353 1 686 5629

Email: Nanjiaucits@cscgfm.com

Please see the Prospectus and the relevant Supplement for full details of how to apply for a redemption of shares.

Any redemption request which would reduce the value of your aggregate shareholding below the Minimum Subscription amounts specified in the Prospectus or a Supplement may be refused or may result in the redemption of all of your shares.

It should be noted that any outstanding unpaid interest that you owe, arising due to late settlement of subscription monies, may be deducted from the redemption proceeds.

Redemption monies for the Classes of Shares in the ICAV will be remitted in the designated currency of the Class of Shares (or such other currency as the Directors may from time to time determine).

I/We, having received and read a copy of the Prospectus and Instrument of Incorporation of the ICAV wish to redeem Shares in the ICAV as indicated in the table below:

<b>Details of Investment:</b>					
The Investor, having received and read a copy of the Prospectus of the Nanjia Capital ICAV (the "ICAV"), the Supplement(s) and the Key Investor Information Document in respect of the following sub-fund of the ICAV (please delete as necessary),					
- XSE					
- Civetta Nanjia Fund					
- CYRUS					
(the "Fund")					
hereby applies to redeem in the ICAV, as indicated in the table below:					
Fund Name	Share Class	Currency (US\$, GBP, Euro, SG\$)	Number of Shares	Value of Redemption	ISIN
XSE	F				
	I				
	S				
	R				
	J				

Fund Name	Share Class	Currency (US\$, GBP, Euro, SG\$)	Number of Shares	Value of Redemption	ISIN
Civetta Nanjia Fund	F				
	I				
	S				
	R				
	J				
CYRUS	F				
	I				
	S				
	R				
	J				

I/we hereby request to redeem the Shares set out above upon the terms and conditions described in the Prospectus. I/we restate(s) all of the declarations made in the original Subscription Agreement ("Original Application") and certify that all of the information in the Original Application remains accurate and complete. I / we understand that redemption monies will only be paid out where the ICAV and/or the Administrator has all relevant information and documentation (including as to anti-money laundering), and I agree to provide such information and documentation to the ICAV and/or the Administrator, upon request.

**Signature:**

**Signature:**

**Print name:**

**Print name:**

Position (only if signing on behalf of the beneficial owner)

Date:

Date:

## NANJIA CAPITAL ICAV DATA PROTECTION NOTICE

### 1. INTRODUCTION

- 1.1 This Data Protection Notice provides guidance and information to NANJIA CAPITAL ICAV (“**NANJIA**”) Shareholders regarding the processing of personal data by NANJIA. Capitalised terms not otherwise defined herein shall have the meanings ascribed to them in the Prospectus, Supplements, and Subscription Agreement.
- 1.2 NANJIA needs to gather and use certain information about its Shareholders. This describes how this personal data must be collected, handled and stored to meet the company’s data protection standards – and to comply with the law.
- 1.3 NANJIA (“**us**”, “**we**” or “**our**”) is committed to protecting and respecting your privacy. This Notice together with the Prospectus, Supplement(s) applicable to each Fund(s) in which you hold Shares, and Subscription, and Redemption Agreements and the documents referred to therein, sets out the basis on which any personal data we collect from you or that you provide to us (“**Data**”) will be processed by us. Please read this Data Protection Notice carefully to understand our treatment and use of Data.
- 1.4 In this Data Protection Notice, references to “**you**” means the person whose personal information we collect, use and process.
- 1.5 We will use your Data only for the purposes and in the manner set forth below, which describes the steps we take to ensure the processing of your Data is in compliance with the Data Protection Acts 1998 and 2003 and any subsequent data protection and privacy legislation (the “**Acts**”), European Union Law including the General Data Protection Regulation (the “**GDPR**”) and any subsequent amendments (together the “**Data Protection Legislation**”).
- 1.6 Please note that by signing a Subscription Agreement with NANJIA, and applying to hold Shares in NANJIA, you acknowledge that you have read, understood and agree to comply with the Instrument of Incorporation, Prospectus, any relevant Supplements, this Data Protection Notice, and the provisions of the Subscription Agreement, in particular with regard to your data protection obligations. If you do not agree with or are not comfortable with any aspect of this Data Protection Notice, your only remedy is to not become a Shareholder to NANJIA.
- 1.7 We seek to maintain the privacy, accuracy, and confidentiality of personal information (including your Data) that we collect and use concerning our Shareholders.

### 2. IDENTITY OF THE CONTROLLER OF PERSONAL INFORMATION

- 2.1 For the purposes of the Data Protection Legislation, the Data Controller is NANJIA, a collective asset-management vehicle being a body corporate, established pursuant to the Irish Collective Asset-Management Vehicle Act 2015 (Registered Number C178906) and having its registered office address at One Earlsfort Centre, Earlsfort Terrace, Dublin 2.

### 3. CONTACT DETAILS OF THE DATA PROTECTION OFFICER

- 3.1 The data protection officer appointed in respect of NANJIA is Richard Ingram. The data protection officer can also be contacted by email at [Info@nanjiacapital.org](mailto:Info@nanjiacapital.org).

### 4. WHEN DOES THIS DATA PROTECTION NOTICE APPLY

- 4.1 This Data Protection Notice applies to personal information that we collect, use and otherwise process about you in connection with your relationship with us.

### 5. WHAT PERSONAL INFORMATION IS COLLECTED AND PROCESSED?

- 5.1 We may collect and process the following categories of information about you:
  - 5.1.1 your title, full name, and your contact details, including for instance your email address, home and mobile telephone numbers;
  - 5.1.2 your home address, correspondence address (where different from your home address) and address history;
  - 5.1.3 records of how you have contacted us and, if you get in touch with us online, details such as your mobile phone location data, IP address and MAC address;

- 5.1.4 your date of birth and/or age;
- 5.1.5 your nationality, if this is necessary for us to comply with our legal and regulatory requirements;
- 5.1.6 information about your tax residency;
- 5.1.7 personal information which we obtain from investor identification verification entities (such as but not limited to source of wealth checks, fraud prevention agencies or credit checks);
- 5.1.8 financial information, including your bank account information, the amount you are looking to invest, the amount of any existing investment, any account transactions, and any monthly payments you may be making, your investment selection(s), the amount and details of any income on your investments with us, the amount or details of any sum paid or reinvested / accumulated to you or on your behalf;
- 5.1.9 information about your employment status including whether you are employed, retired or receive benefits;
- 5.1.10 proof of identification, in forms such as but not limited to, copies of your passport, driving license, bank statements, utility statements or bills, or other identity documents as provided by you;
- 5.1.11 personal information provided by you to us in correspondence, whether by email, written letter, fax, or telephone call (this will be information volunteered by you, it could include the reasons why you have decided to invest, or where your investment money has come from, by way of example);
- 5.1.12 information relating to your investment in NANJIA and any associated services (including online services), any other products and services you currently have, use, you have applied for, or you have previously held or used;
- 5.1.13 Sometimes we may collect additional information about you from third parties. Specifically, we will obtain information about you from; credit reference agencies, fraud prevention agencies, background checks information from relevant agencies.

## **6. WHAT DO WE USE YOUR PERSONAL DATA FOR?**

- 6.1 The specific purposes for which your Data will be processed is the management and organization of NANJIA and of your investment in NANJIA, including to enable us to:
  - 6.1.1 communicate with you about your investment(s), our product and services;
  - 6.1.2 pay income or proceeds of your investment(s) to you;
  - 6.1.3 enable us to process the subscription or redemption of your investments;
  - 6.1.4 evidence your ownership of an investment;
  - 6.1.5 verify that your instructions are genuine and to process them;
  - 6.1.6 inform you about the performance of your investment;
  - 6.1.7 notify you about changes to your investment (such as a change of name, or amendments to the investment policy of a fund);
  - 6.1.8 allow you to exercise rights in relation to your investment (such as voting rights);
  - 6.1.9 recover debt owed;
  - 6.1.10 investigate and deal with complaints or disputes;
  - 6.1.11 transfer your information to any third party who replaces any service provider to NANJIA;
  - 6.1.12 share your information with third parties if required for the management of your investment or of NANJIA;
  - 6.1.13 enable NANJIA to comply with legal or regulatory obligations, such as, but not limited to, tax or regulatory reporting, including disclosure to tax or regulatory agencies;
  - 6.1.14 enable NANJIA to verify your identity and carry out regulatory checks;
  - 6.1.15 enable NANJIA or its service providers to establish and maintain a register of investors;
  - 6.1.16 detect and prevent fraud, money laundering, and other financial crimes, and to ensure that the investments you make in NANJIA are done in compliance with our legal obligations;
  - 6.1.17 comply with audit requests from counterparties;
  - 6.1.18 combat late trading and market timing practices;
  - 6.1.19 ensure you are eligible for a product or share class;
  - 6.1.20 verify the adequacy of your income, net worth, or investment experience (e.g. if you request to be categorized as a professional investor);
  - 6.1.21 comply with requests made by you when exercising your legal rights;
  - 6.1.22 record all incoming and outgoing calls for training, monitoring and security purpose, as well as to keep an accurate record of any instructions received from you in relation to your investments;
  - 6.1.23 carry out monitoring and to keep records, including administering and managing your investments and services relating to that, updating your records, and tracing your whereabouts to contact you about your investment;
  - 6.1.24 test the performance of our products, services, and investments to ensure that we are managing your investments to their best potential;
  - 6.1.25 adhere to our obligations, guidance and best practice under the regimes of governmental and regulatory bodies in Ireland and internationally;
  - 6.1.26 contact you where we have updated this Privacy Notice and consider that it is necessary to advise you about any changes to the way we are processing your personal information;
  - 6.1.27 effect the for management and audit of our business operations, including accounting;

6.1.28 Share your personal information (to achieve the above purposes) with other people or organizations as set out in greater detail below.

6.2 The legal basis for this use and other processing will include (as relevant):

6.2.1 to enable us to perform our obligations under any contract with you;

6.2.2 processing which is necessary for compliance with our legal obligations laid down by applicable national laws; and

6.2.3 Processing for legitimate interests provided these are not overridden by your interests and fundamental rights and freedoms, in particular this is relevant when we use and process your Data in order to respond to your enquiries and to address our good governance obligations.

6.3 The provision of Data is a contractual requirement and may also be a statutory requirement. If your Data cannot be processed this may have an impact on fulfilling our rights and obligations under our contract with you.

## **7. RECIPIENTS OR CATEGORIES OF RECIPIENTS OF THE PERSONAL DATA**

7.1 Data will only be shared with any third party listed in the Section 7 where it is lawful to do so.

7.2 We will check any third party that we use to ensure that they can provide sufficient guarantees regarding the confidentiality and security of your Data. We will have written contracts with them which provide assurances regarding the protections that they will give to your Data and their compliance with our data security standards and international transfer restrictions.

7.3 Your Data may be shared with partners connected to NANJIA the ("**NANJIA Group**"), for any of the purposes set out in this Data Protection Notice.

7.4 We may disclose your personal information to third parties, including the following:

7.4.1 service providers to NANJIA, including the Directors, Company Secretary, Manager, Investment Manager, any Sub-Investment Manager, Depositary, Transfer Agent, Registrar, professional service providers, and Custodians;

7.4.2 law enforcement agencies and governmental and regulatory bodies in Ireland and overseas, such as the Office of the Revenue Commissioners, the Central Bank of Ireland, the Financial Conduct Authority, the Securities and Futures Commission, any regulatory bodies with authority over NANJIA or its service providers, fraud prevention agencies, any investor compensation scheme or financial services ombudsman;

7.4.3 courts and to any other organizations which is necessary for the administration of justice, to protect vital interests and to protect the security or integrity of our business operations;

7.4.4 other organizations and businesses who provide services to us such as debt recover agencies, back up and server hosting providers, IT software and maintenance providers, document storage providers and suppliers of other back office functions;

7.4.5 buyers and their professional representatives as part of any restructuring or sale of our business or assets, or those of our service providers;

7.4.6 Market research organizations who help us to develop and improve our products and services.

7.5 In addition, we take reasonable steps to ensure that your personal information is adequately protected in accordance with Data Protection Legislation.

7.6 No third party may access Data held by NANJIA without having first entered into a data confidentiality agreement, which imposes on the third party obligations no less onerous than those to which NANJIA is committed, and which gives NANJIA the right to audit compliance with the agreement.

## **8. TRANSFERS OUTSIDE THE EUROPEAN ECONOMIC AREA**

8.1 Your Data may be transferred to entities located in other countries, including outside the European Economic Area ("**EEA**"). These other countries may either have different data protection laws than your country of residence or they may not have data protection laws. Steps will however be taken to put in place safeguards (including around security) to protect your Data when it is in other countries. For example, in respect of Europe, this includes use of European Model Clause contracts. You can find out what these are online at the following address: [http://ec.europa.eu/justice/data-protection/international-transfers/transfer/index\\_en.htm](http://ec.europa.eu/justice/data-protection/international-transfers/transfer/index_en.htm). If you have any questions or wish to be provided with a copy please see "**Contact Us**" for further contact information. Please note commercially sensitive information may be removed/blanked out from copies supplied to you.)

- 8.2 For transfers of your Data to third parties outside of the EEA, we take additional steps in line with data protection laws. These include EU Commission approved forms of contract with the relevant recipients of your information, whether members of the NANJIA Group or otherwise.

## 9. **PERIOD FOR WHICH THE PERSONAL DATA WILL BE STORED, OR IF THAT IS NOT POSSIBLE, THE CRITERIA USED TO DETERMINE THAT PERIOD**

- 9.1 We keep your Data for as long as it is necessary to do so to fulfil the purposes for which it was collected as described above and in accordance with our legal and regulatory obligations. The criteria we use to determine data retention periods for Data includes the following:

- 9.1.1 retention in case of queries; we will retain it for a reasonable period after the relationship between us has ceased;
- 9.1.2 retention in case of claims; and
- 9.1.3 retention in accordance with legal and regulatory requirements;

## 10. **YOUR RIGHTS**

- 10.1 You may have various rights under data privacy laws in your country (where applicable). These may include (as relevant):

- 10.1.1 the right to withdraw your consent to the processing of your Data. However, we may continue to process your personal information if there is an alternative legal basis for the processing;
- 10.1.2 the right to request access to the Data we hold about you;
- 10.1.3 the right to rectification including to require us to correct inaccurate Data;
- 10.1.4 the right to request restriction of processing concerning you or to object to processing of your Data if:
  - 10.1.4.1.1 processing is based on legitimate interests or the performance of a task in the public interest or exercise of official authority;
  - 10.1.4.1.2 processed for direct marketing; or
  - 10.1.4.1.3 processed for the purposes of scientific or historical research and statistics;
- 10.1.5 the right to prevent further processing in specific circumstances and where there is no other lawful ground for continuing to process that information. These include for example:
  - 10.1.5.1.1 where the Data is no longer necessary in relation to the purpose for which it was originally collected/processed;
  - 10.1.5.1.2 where you withdraw consent; or
  - 10.1.5.1.3 where you object to us processing your information;
- 10.1.6 the right to request the erasure of your Data where it is no longer necessary for us to retain it;
- 10.1.7 the right to block or suppress processing of personal information. While we are entitled to store your personal information, we cannot further process it if you request it to be blocked;
- 10.1.8 the right to data portability including to obtain Data in a commonly used machine readable format in certain circumstances such as where our processing of it is based on a consent; and
- 10.1.9 the right to object to automated decision making including profiling (if any) that has a legal or significant effect on you as an individual; and the right to withdraw your consent to any processing for which you have previously given that consent.

- 10.2 Please see "**Contact Us**" if you wish to exercise any of these rights (as relevant).

## **11. YOUR RIGHT TO LODGE A COMPLAINT WITH A SUPERVISORY AUTHORITY**

- 11.1 Without prejudice to any other administrative or judicial remedy you might have, you may have the right under data privacy laws in your country (where applicable) to lodge a complaint with the relevant data protection supervisory authority in your country (i.e. the Office of the Data Protection Commissioner in Ireland) if you consider that we have infringed applicable data privacy laws when processing your Data. This means the country where you are habitually resident, where you work or where the alleged infringement took place.

## **12. SECURITY**

- 12.1.1 We endeavour to use appropriate technical and physical security measures to protect your Data which is transmitted, stored or otherwise processed by us, from accidental or unlawful destruction, loss, alteration, unauthorized disclosure, or access. These measures include:
- 12.1.2 the pseudonymisation and encryption of personal data;
- 12.1.3 ensuring that training and communication is in place to train all staff who process personal data, including special categories of data;
- 12.1.4 undertaking risk assessments inherent in the processing, taking into account the nature, scope, context and purpose for the processing;
- 12.1.5 documented access controls; and
- 12.1.6 a process for regularly testing, assessing and evaluating the effectiveness of technical and organizational measures for ensuring the security of the processing. Our service providers are also selected carefully and required to use appropriate protective measures.
- 12.2 Our service providers are also selected carefully and required to use appropriate protective measures.
- 12.3 As effective as modern security practices are, no physical or electronic security system is entirely secure. The transmission of information via the internet is not completely secure. Although we will do our best to protect your Data, we cannot guarantee the security of your Data transmitted to us or any website, email, or fax. Any transmission of Data is at your own risk. Once we receive your Data, we will use appropriate security measures to seek to prevent unauthorized access. We will continue to revise policies and implement additional security features as new technologies become available.
- 12.4 In the event that there is an interception or unauthorized access to your Data, we will not be liable or responsible for any resulting misuse of your personal information.

## **13. UPDATING THE DATA PROTECTION NOTICE**

- 13.1 We reserve the right to change this Data Protection Notice at any time in our sole discretion. If we make changes, we will notify you via email to the email address as provided by you so that you can see what information we gather, how we might use that information and in what circumstances we may disclose it.

## **14. CONTACT US**

- 14.1 For further information or if you have any questions about this Data Protection Notice, please contact the Data Protection Officer.



## Appendix A

### Source of Wealth Certification for Politically Exposed Persons

**(to include Immediate Family Members and Close Associates) and High-risk Investors**

Full name of the Subscriber:

Name of the Fund:

Please provide a brief description of Source of Wealth (i.e. how overall wealth is generated):

Please provide full explanation of source of assets or fund to be contributed to the entity (description of accounts from which these funds will be transferred and how the funds were originally obtained by you, e.g. personal earnings, pooled assets of clients for which you hold full due diligence, inheritance, etc.):

Value of monies to be contributed to the entity:

Signature:

Date:

## Appendix B

Nominee/Intermediary/Agent Letter Exhibit A (Regulated Intermediary AML Letter of Reliance)

### DATE

Re: *Insert Name of Fund(s)* (the “Funds”) – Verification of Identity in accordance with applicable Anti Money Laundering and Counter the Financing of Terrorist (“AML/CFT”) Laws and Regulations

Dear Sir/Madam

We confirm that, *(insert name of financial intermediary)* with a registered office located at \_\_\_\_\_ *(insert address)* is licensed as \_\_\_\_\_ *(insert description)* by the \_\_\_\_\_ *(insert regulatory body)* and that we are supervised and monitored for compliance with AML/CFT regulatory requirements in \_\_\_\_\_ *(insert country)*;

We hereby confirm the following in connection with all investors (“Investors”) and their beneficial owners in all designations in the name in the Funds

- (i) we have established AML/CFT policies, procedures and internal controls to ensure ongoing compliance with applicable AML/CFT and economic sanctions laws and regulations \_\_\_\_\_ *(insert relevant law/regulation here)*;
- (ii) our AML/CFT policies, procedures and internal controls incorporate systems and controls to identify and verify our customers, and their beneficial owners<sup>1</sup> and performs (i) appropriate risk-grading procedures to differentiate between customer due diligence for high and low risk relationships (ii) ongoing customer due diligence, (iii) regular AML/CFT monitoring and sanction screening, (iv) staff AML/CFT training and (v) detect, investigate and, as required, report any suspicious activities to the relevant authorities;
- (iii) we have systems and controls in place to identify Politically Exposed Persons, their relatives and close associates (collectively PEPs) and we conduct enhanced due diligence, including establishing the source of wealth and the source of funds and enhanced ongoing monitoring on PEPs and other high risk customers.

With regard to each investor who has invested via the financial intermediary in the Funds, we hereby confirm:

- (i) the accounts will only be operated by the Financial Intermediary who maintain ultimate, effective control over the account.
- (ii) we have performed customer due diligence and identified and verified the beneficial owner(s), and have obtained the information on the purpose and the intended nature of the business relationship;
- (iii) To the best of our knowledge, we are unaware of any activities on the part of the investor(s), and their beneficial owners which could lead us to suspect an involvement in criminal conduct: money laundering or terrorist activities;

<sup>1</sup> Beneficial owner includes the natural person(s) who ultimately owns or controls a customer and/or the natural person(s) on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over a legal person or arrangement.

- (iv) we will retain documents and information on the investor(s), including any beneficial owner, obtained as part of our customer identification and verification process for at least 5 years after the termination of their relationship with us;
- (v) we will provide you with related customer due diligence documents and information, which we may have on our files relating to the identity of the investor(s) and beneficial owner(s) upon request
- (vi) none of the investor(s) including any beneficial owner have been identified as PEPs or are subject to sanctions lists administered by the European Union, the United States, including OFAC, and the United Nations.

We further undertake to advise you, should at any time in the future there be any change in any information provided above or in the Declaration of Beneficial Ownership.

Yours faithfully,

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Authorised Signatory

(State Name and Position of Authorised Signatory)

## Appendix C

### **Nominee/Agent/Intermediary Letter Exhibit B (Parent AML Letter)** **Letter to be on company letterhead of regulated parent company**

CSC Fund Administration Services Ireland Limited,  
Third Floor, Fleming Court,  
Fleming Place,  
Dublin 4,  
Ireland  
Attention: Investor Services

Date

Re: *Insert Name of Fund(s)* (the "Funds") – Verification of Identity in accordance with applicable Anti Money Laundering and Counter the Financing of Terrorist ("AML/CFT") Laws and Regulations

Dear Sir/Madam

***(Insert Name of Financial Intermediary investor (the "Financial Intermediary Company")***

We confirm that, ***(insert name of regulated parent company)*** (the "Parent Company") with a registered office located at \_\_\_\_\_ ***(insert address)*** are licensed as \_\_\_\_\_ ***(insert description)*** by the \_\_\_\_\_ ***(insert regulatory body)*** and that we are supervised and monitored for compliance with AML/CFT regulatory requirements in \_\_\_\_\_ ***(insert country)***;

The Financial Intermediary Company is a wholly owned subsidiary of the Parent company.

The Parent company makes the following representations, warranties and undertakings in respect to both the Parent and the Financial Intermediary Company:

- (i) we have established AML/CFT policies, procedures and internal controls to ensure ongoing compliance with applicable AML/CFT and economic sanctions laws and regulations \_\_\_\_\_ ***(insert relevant law/regulation here)***;
- (ii) our AML/CFT policies, procedures and internal controls incorporate systems and controls to identify and verify our customers, and their beneficial owners<sup>2</sup> and controlling parties, and performs (i) appropriate risk-grading procedures to differentiate between customer due diligence for high and low risk relationships (ii) ongoing customer due diligence, (iii) regular AML/CFT monitoring and sanction screening, (iv) staff AML/CFT training and (v) detect, investigate and, as required, report any suspicious activities to the relevant authorities;
- (iii) we have systems and controls in place to identify Politically Exposed Persons, their relatives and close associates (collectively PEPs) and we conduct enhanced due diligence, including establishing the source of wealth and the source of funds and enhanced ongoing monitoring on PEPs and other high risk customers.

With regard to each investor who has invested via the Financial Intermediary Company in the Funds, we hereby confirm:

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<sup>2</sup> Beneficial owner includes the natural person(s) who ultimately owns or controls a customer and/or the natural person(s) on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over a legal person or arrangement

- (iv) the accounts will only be operated by the Financial Intermediary and / or the Parent Company who maintain ultimate, effective control over the account;
- (v) we have performed customer due diligence and identified and verified the beneficial owner(s), and have obtained the information on the purpose and the intended nature of the business relationship;
- (vi) to the best of our knowledge, we are unaware of any activities on the part of the customer(s), and their beneficial owners which could lead us to suspect an involvement in criminal conduct: money laundering or terrorist activities;
- (vii) we will retain documents and information on the investor(s), including any beneficial owner, obtained as part of our customer identification and verification process for at least 5 years after the termination of their relationship with us;
- (viii) we will provide you with related customer due diligence documents and information, which we may have on our files relating to the identity of the investor(s) and beneficial owner(s) upon request;
- (ix) none of the investor(s) including any beneficial owner have been identified as PEPs or are subject to sanctions lists administered by the European Union, the United States, including OFAC, and the United Nations.

We further undertake to advise you, should at any time in the future there be any change in any information provided above or in the Declaration of Beneficial Ownership.

Yours faithfully,

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Authorised Signatory  
(State Name and Position of Authorised Signatory<sup>3</sup>)

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<sup>3</sup> Company Authorised Signatory List to be provided to confirm signing authority of signatory.