

Schedule 5 to Subscription Agreement

Documentation Required by Fund Administrator

Please note that in all cases:

- The Administrator reserves the right to request any further information which it considers to be in any way necessary to the process of verification.
- Documents submitted as copies must be certified or notarised to be a true copy by a notary public, an accountant, a lawyer or a bank representative who should clearly state their name, address and telephone number /email. Please note that all documents provided must be in English or be accompanied by a notarised translation.

A. INDIVIDUALS

In all cases, he/she agrees to produce to the Administrator the following documents:

1. Notarised or certified copy of photograph page and signature page of passport. Copy must be clear and legible, including the photograph.
2. Original or notarised or certified copy of a utility bill eg: gas, electric, fixed line phone bill. If no utility bill is available in own name, please provide alternative evidence of residential address (not business address and no PO Boxes allowed) e.g. bank statement. (note: credit card statements and mobile phone bills are not accepted). The document must be dated within the last 3 months.
3. Details of occupation

B. COMPANIES & CORPORATIONS

1. Notarised or certified copy of the Certificate of Incorporation.
2. Notarised or certified copy of a Certificate of Good Standing / Companies House extract (dated within the last 12 months).
3. Notarised or certified copy of the constitutional documents e.g. Memorandum and Articles of Association, Articles of Incorporation and Bylaws etc.
4. Notarised or certified copy of the Register of Directors or equivalent.
5. Notarised or certified copy of the Register of Officers or equivalent.
6. Notarised or certified copy of the Register of Members/Shareholders or equivalent.
7. The most recent annual report or financial statements of the company or corporation, preferably for the last 2 years.
8. For the two Directors most actively involved with the company or corporation, the KYC documents required under Paragraph A above.
9. For any individual, other than a Director, who will be authorised by the company or corporation to provide instructions to us in relation to the company, the KYC documents required under Paragraph A above.
10. For each shareholder of the company or corporation holding 10% or more of the total shares in the company or corporation, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the shareholder is an individual, a company or corporation, a limited liability company, a limited partnership, a general partnership or the trustee of a trust).

C. LIMITED PARTNERSHIP

Where the Subscriber is a limited partnership and it is not regulated by the equivalent of CIMA in a Schedule 3 Country, it agrees to produce to the Administrator the documents specified below.

1. Notarised or certified copy of the Certificate of Registration.
2. Notarised or certified copy of the Partnership Agreement.
3. If not indicated in the Partnership Agreement, confirmation of the business or trading address of the Partnership.
4. Where the Partnership has Officers and/or Managers, a list of the Officers and/or Managers.
5. The annual report or financial statements of the Partnership, preferably for the last 2 years.
6. For the General Partner, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the General Partner is an individual, a company or corporation, a limited liability company, a limited partnership or a general partnership).
7. Where the Partnership has Officers and/or Managers, for the two Officers most actively involved with the Partnership and for each Manager, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the Officers and/or Managers are individuals, companies or corporations, limited liability companies or partnerships).
8. For each Limited Partner holding 10% or more of the total limited partnership interests in the Partnership, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the Limited Partner is an individual, a company or corporation, a limited liability company, a partnership or the trustee of a trust).

D. TRUSTS & FOUNDATIONS

Where the Subscriber is a trust and it is not regulated by the equivalent of CIMA in a Schedule 3 Country, it agrees to produce to the Administrator the documents specified below.

1. Notarised or certified copy of the Trust Deed and any amending Deed(s).
2. An explanation of the source of funds or assets comprised in the trust fund.
3. For the Trustee (other than a regulated trust company), the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the Trustee is an individual, a company or corporation or a limited liability company).
4. For the Settlor or original beneficial owner of the trust assets, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the Settlor is an individual, a company or corporation or a limited liability company).
5. For any named Beneficiary (including discretionary / unvested beneficiaries), the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether the Beneficiary is an individual, a company or corporation or a limited liability company).
6. For the Protector, the Enforcer / Appointer or any other person on whose instructions or in accordance with whose wishes the Trustee is prepared or accustomed to act or who may appoint and/or remove the Trustee or investment advisor to the Trust, the KYC documents required under Paragraph A, Paragraph B, Paragraph C and/or Paragraph D (depending on whether such person is an individual, a company or corporation or a limited liability company).

SAMPLE CERTIFICATION

"I hereby certify I have seen the original document and that this document is a true and correct copy of the original."

[Signature of the certifier]

[Date]

[Name of the certifier]

[Company Name, if applicable]

[Title/position/occupation]

[Registration / member number if applicable]

[contact details – phone/email]

Notes

The certification must appear on the actual copy of the document being certified. Electronic documents are able to be certified.

The certifier should be an independent party not related to nor living at the same address as the person whose documents are being certified.

- Lawyer (Solicitor or Barrister) or Attorney,
- Chartered Accountant / CPA,
- Notary Public,
- Judge or Magistrate,
- Doctor of Medicine (General Practitioner, Consultant)
- senior civil servant,
- government official,
- director or manager of a regulated credit or financial institution,
- bank manager.