



## INDIVIDUAL INVESTOR PACK

### IDENTIFICATION DOCUMENTS

For direct subscriptions, the following documents and information must be provided to the Agent.

FIRST-TIME APPLICATION: THE FOLLOWING REGISTRATION DOCUMENTS AND ORDER FORMS ARE REQUIRED.

#### NATURAL PERSON

##### REGISTRATION DOCUMENTS

Subscription Form including Investor Profile



Certified copy of the Identity card/Passport of the Investor



#### FOR ALL SUBSEQUENT OPERATIONS, ONLY THE RELEVANT TRANSACTION FORM IS REQUIRED.

In accordance with anti-money laundering legislation, the Agent acting on behalf of the Fund shall verify the identity of an investor, the origin of sums invested or the beneficiary of redemption proceeds either at the time of subscription, for the entire holding period and at the time of redemption, payment of dividends or transfers. If the investor delays, or fails to produce the aforementioned documents or required information, the subscription/redemption and the payments relative to them as well as the transfer may be refused. The Fund and/or the Agent reserve the right to request all and any additional information. In addition, the Investor undertakes to inform the Fund and the Agent of any changes to his personal data.

#### TO BE SENT TO THE AGENT:

**RBC DEXIA INVESTOR SERVICES BANK S.A.,**  
**14, Porte de France, L-4360 Esch-sur-Alzette, G.D. Luxembourg**  
**Fax: (+352- 2460 9500)**



## APPLICATION FORM FOR INDIVIDUALS

Please complete all the sections of this form in BLOCK CAPITALS and return the original signed and dated together with the relevant documentation to the Registrar and Transfer Agent of the Fund:

RBC DEXIA INVESTOR SERVICES BANK S.A.,  
14, Porte de France, L-4360 Esch-sur-Alzette, G.D. Luxembourg  
Fax: (+352- 2460 9500)

### PRIVATE INVESTOR INFORMATION

#### ACCOUNT HOLDER

(please tick the right choice)

Mr     Mrs     Ms

Surname: \_\_\_\_\_ First Name: \_\_\_\_\_

Date of birth (DD/MM/YYYY): \_\_\_\_\_ Country of birth: \_\_\_\_\_

Country of taxation: \_\_\_\_\_

Passport/ID number (circle the right choice): \_\_\_\_\_

Passport/ID issued at (country): \_\_\_\_\_

Passport/ID expiration date (DD/MM/YYYY): \_\_\_\_\_

Address: \_\_\_\_\_

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

Postcode: \_\_\_\_\_

Town: \_\_\_\_\_ Country: \_\_\_\_\_

Nationality: \_\_\_\_\_ Occupation: \_\_\_\_\_

Fax number: \_\_\_\_\_ Telephone number: \_\_\_\_\_

Mobile phone number: \_\_\_\_\_ E-mail address: \_\_\_\_\_



## FOR GBP PAYMENTS

Beneficiary	RBC Dexia
Sort code	301635
Account number	25335028
Beneficiary reference	LU3934104200160607

## FUND SELECTION

NAME OF FUND	CURRENCY	ISIN	AMOUNTS SUBSCRIBED
Absolute Income Protected Fund	GBP	<b>LU0445345175</b>	

## THIS SECTION MUST BE COMPLETED

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed.

**Important:** In case of indirect ownership, please describe on a dated and signed chart the intermediate levels of ownership with names and percentages.

Please confirm if any the account holder or the ultimate economic beneficiary(ies) is/are either:

- a person holding a legislative, administrative or judicial office, whether appointed or elected:  Yes  No
- a person exercising a public function, including for a public agency or public enterprise:  Yes  No
- an official or agent of a public international organisation:  Yes  No
- a person or company manifestly close to or connected with the above persons:  Yes  No

If YES TO ANY OF THE ABOVE, please describe:

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## DECLARATION AND SIGNATURE OF THE ACCOUNT HOLDER AND JOINT APPLICANTS

For joint owners, the following declaration must be signed by all owners. Regarding minor owners, this declaration must be signed by the guardian.

- I/we declare I/we am/are over 18 years old and have full capacity to subscribe, to hold and to deal in shares
- I/we understand my/our subscription is subject to receipt and acceptance by RBC Dexia Investor Services Bank S.A.
- I/we declare and agree that any further application for shares by me/us shall be made or be deemed to be made in accordance with the currently relevant documentation
- I/We hereby confirm that the money or assets invested by me/us are neither directly nor indirectly the proceeds of any criminal act within the meaning of applicable Luxembourg law.
- I/we have been informed and agree with the Luxembourg Law on the Data protection. I/we understand and agree that my data may be transmitted to third parties with whom the Company may have a business relationship and which may be established out of Luxembourg and/or the European Union, or to public administration or other public bodies as may be required under Luxembourg Law. I/we declare that the information contained in this document is accurate to the best of my/our knowledge and belief and I/we commit myself/ourselves to contact RBC Dexia Investor Services Bank S.A. as soon as possible in the case these data change
- I/We declare to have read and agree to the General Terms and Conditions of the Appendix A.
- I/We declare to agree to provide the necessary supporting identification documentation as per requested by Luxembourg laws.
- I/We hereby declare that the information contained in this application form is correct at the time of completion and I/we hereby undertake to promptly inform RBC Dexia Investor Services Bank S.A. of any change in my/our details contained herein.

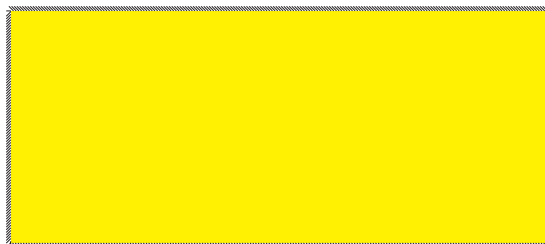
## SOURCE OF FUNDS

I/we declare that the origin of the funds used for subscription is coming from: (please tick the right choice)

- Savings (please describe): \_\_\_\_\_
- Inheritance (please describe): \_\_\_\_\_
- Sale of real estate (please describe): \_\_\_\_\_
- Other (please describe): \_\_\_\_\_

I/we declare I/we am/are the ultimate economic beneficiary(ies) of the shares being subscribed.

Investor Signature (or guardian signature if applicable)



Date: \_\_\_\_\_



## APPENDIX A – GENERAL TERMS AND CONDITIONS

1. General
  - 1.1. These Terms and Conditions relate to the subscription of Shares in the Fund – which has appointed RBC Dexia Investor Services Bank S.A. (hereafter referred to as "RBC Dexia") as its Transfer Agent to maintain and keep the investors registrar – and the applicant(s) agree(s) to be bound by these Terms and Conditions, the Prospectus and the articles of incorporation or the management regulations of the Fund in which he is investing.
  - 1.2. RBC Dexia reserves the right to reject any application in whole or in part which is not completed in full and supported by the documentation requested and cleared monies, or for any other reason at its sole discretion. Failure to attach all documentation requested will result in a delay in the transaction being processed.
  - 1.3. RBC Dexia reserves the right to request additional information and documentation, including, but not limited to, translations and certifications relating to such additional requests from the applicant(s) and existing investors in compliance with the legislation and regulations in force from time to time.
2. Prevention of Money Laundering
  - 2.1. All applicants must complete the section "Ultimate Beneficiary Information" and attach to this Application Form all the relevant documentation requested.
  - 2.2. The section "Ultimate Beneficiary Information" constitutes an integral part of these Terms and Conditions.
  - 2.3. All applicants understand that due to the changing nature of anti-money laundering laws and regulations and the possible extensions of applicable rules, RBC Dexia may update and amend its procedures as might be required from time to time to comply with such amendments.
  - 2.4. In compliance with CSSF circulars and other applicable anti-money laundering laws and regulations, RBC Dexia may require further identification of the applicants or an existing investor before the application can be processed or the redemption proceeds paid out.
  - 2.5. Subscription monies from a third party will not be accepted.
  - 2.6. Redemption proceeds can not be paid to a third party.
3. Joint Applicants
  - 3.1. If more than one person is named in a single application form, all applicants will be considered as joint applicants. As such, they authorize RBC Dexia to act and rely on the signed or purportedly signed instructions of any one of the applicants without liability with respect to any transfer, payment or other act made or done or omitted to be done in accordance with such instructions.
  - 3.2. The different joint holders shall determine between them, by separate agreement, the rights of any joint account holder on the account. RBC Dexia may at any time request each joint account holder to inform it about this determination. Under no circumstances can the knowledge that RBC Dexia has about the distribution of assets between the account holders of a joint account be used against RBC Dexia.
  - 3.3. The applicants hereby confirm that upon the death of any of the undersigned, this individual signatory power will continue to be in force. RBC Dexia may rely and act without liability on any instruction including the transfer or redemption of the Shares signed by the survivor(s) unless RBC Dexia has been informed in writing of the contrary.
  - 3.4. Unless otherwise advised in writing, all notices and communications shall be addressed and all payments directed to the first applicant specified in section of the present Application Form (the "Account Holder").
4. Power of Attorney
  - 4.1. Where a Power of Attorney Form is required, a certified copy must be provided, and such Power of Attorney Form shall form an integral part of these Terms and Conditions.
5. Application by a Person under the age of 18 years old
  - 5.1. If this application form is submitted on behalf of, and the investment account is opened in the name of a person under 18 years old, the application form must be signed by the legal guardian(s). Duly certified proof of the legal guardianship has to be submitted in writing to RBC Dexia. The legal guardian(s) must provide a certified copy of a valid ID card/passport.
  - 5.2. The Legal guardians, where more than one legal guardian exists, may authorize, to the extent permitted by any applicable law, one or another by notice in writing to RBC Dexia to represent the person under 18 years old solely, provided such authorization is signed by both guardians. Sole representation will become effective two business days after receipt by RBC Dexia of such a request.
  - 5.3. Upon reaching the age of 18, RBC Dexia must be informed accordingly and a new application form has to be submitted and signed by the investor. Until the new application form signed by the investor has been received by RBC Dexia, transactions will not be processed.
6. Indemnity
  - 6.1. The applicant(s) will indemnify upon first demand RBC Dexia and any other delegates against any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred by them arising either directly or indirectly out of or in connection with a breach by the applicant(s) of these Terms and Conditions or out of RBC Dexia relying on, accepting or failing to act on any instruction or declaration or information given by or on behalf of the applicant(s) unless due to the willful default, fraud or gross negligence of the Fund or RBC Dexia
  - 6.2. RBC Dexia will indemnify the Applicant for direct damages solely to the extent of its gross negligence or willful misconduct. RBC Dexia will in no way indemnify indirect or consequential damages suffered by the applicant(s).
7. Confidentiality
  - 7.1. RBC Dexia agrees to keep all information concerning the applicant(s) confidential unless required to disclose such information to third parties by applicable Law or by formal instruction of the applicant(s).



## GENERAL TERMS AND CONDITIONS (CONTINUED)

- 7.2. The applicant(s) accept and agree that RBC Dexia may be requested to disclose personal details for the processing of cash payment instructions in accordance with the mandatory obligation provided in Article 16 of the Act of November 19, 2004 regarding the fight against money laundering and terrorism financing.
- 7.3. The applicant(s) accept that personal details may be disclosed to external parties such as the Fund's sponsor, the Fund's Authorized Distributors or the Fund's promotor as necessary for the provision of enhanced shareholders' related services and that personal details (subject to the application of local laws and/or regulations) be used outside Luxembourg and may therefore be potentially subject to the scrutiny of regulatory and tax authorities outside Luxembourg.
8. Data Processing
  - 8.1. The applicant(s) acknowledge and agree that the applicant(s)' personal details will be held by RBC Dexia and may be subject to data processing.
  - 8.2. The applicant(s) will have access to his/her/their personal details and will be entitled to request relevant amendments to such details. RBC Dexia will keep the personal details at least 5 years after the end of the relationship between the applicant(s) and RBC Dexia.
9. Subscription Orders
  - 9.1. Upon receipt of the completed application form and the full subscription amount, RBC Dexia will keep a record for the Fund the Shares in the name of the applicant(s).
10. Instructions
  - 10.1. All notices, reports, statements, documents and communications will be sent at the risk of the applicant(s) by ordinary mail or where otherwise specified by Luxembourg legislation or the Fund's constitutional documents, by registered mail to the address of the First Applicant unless otherwise specified by the applicant(s) in writing.
  - 10.2. All notices, reports, statements, documents and communications sent to the address of the first applicant are deemed to have been effected to all the applicants on the date sent to the first applicant's address.
  - 10.3. Instructions may be given by letter or facsimile and are at the risk of the applicant(s). The applicant(s) assume(s) all risks and in particular those arising from delays in delivery, errors in communication, or comprehension, including but not limited to, errors as to the information contained in the instruction. The applicant(s) holds harmless RBC Dexia of all responsibility in this respect.
  - 10.4. The applicant(s) specifically agree(s) that for instructions sent by fax he/they hold RBC Dexia fully indemnified from and against all liabilities, losses, costs, actions, proceedings, claims and demands which may be incurred by or brought or made against the Fund or RBC Dexia arising directly or indirectly from having acted upon such instructions.
  - 10.5. In case the application form is sent by fax, the original must also be sent to RBC Dexia.
  - 10.6. A fax authority is not sufficient for notifications of change of name, notification of death, deed of pledges and appointment of an attorney or any other notification or instruction where original documentation is required to be sent by post to RBC Dexia.
  - 10.7. The applicant(s) shall check the accuracy of the details contained in the contract notes and statements of accounts sent by RBC Dexia. Failure to report any inaccuracy within 30 business days of their dispatch will result in the confirmation details to be deemed accurate by the applicant(s).
11. CSSF Circular 04/146-Late Trading and Market Timing
  - 11.1. RBC Dexia shall not permit transactions which it knows to be or has reason to believe to be related to late trading or market timing practices as defined in CSSF Circular 04/146 and shall report those transactions to the CSSF.
12. Telephone Recording
  - 12.1. The applicant(s) specifically accept(s) that telephone-recording procedures may be used and agree(s) that these records may be used in court or any legal proceeding, with the same value as written evidence.
13. Fraudulent use of signature
  - 13.1. Neither the Fund nor RBC Dexia shall be liable for the fraudulent use by a third party of the applicant's signature, whether this signature be authentic or forged ("Fraudulent Instruction").
  - 13.2. Except in the event of gross negligence on the part of the Fund and/or RBC Dexia in the verification of the signatures and signatory powers on the documentation, the Fund and/or RBC Dexia shall not be liable for any damage, loss, expense or liability of any nature which the applicant(s) may suffer due to the reliance by the Fund and/or RBC Dexia on a Fraudulent Instruction which the Fund and/or RBC Dexia believe in good faith to be genuine and to have been given or signed by the applicant(s).
14. Severance
  - 14.1. If any provision or clause of these Terms and Conditions is or becomes void or unenforceable in whole or in part for any reason such enforceability or invalidity shall not affect the validity of the remaining terms and conditions. Terms and Conditions corresponding in sense must replace the invalid terms and conditions.
15. Applicable law
  - 15.1. The laws of the Grand Duchy of Luxembourg shall govern the validity and construction of these Terms and Conditions and the parties agree to be bound by the exclusive jurisdiction of the courts of Luxembourg City, Grand Duchy of Luxembourg.
16. Final Provision
  - 16.1. These Terms and Conditions form an integral part of the Application Form, which applicant(s) declare having accepted by signing this Application Form.