

APPLICATION FORM

Alpine Multiple Opportunities Fund

A Sub-Fund of

Alpine Fund SICAV plc

This Form duly completed, **together with all relevant anti-money laundering documents** (see Schedule I), should be sent by e-mail, with the original to follow by courier to:

Alpine Fund SICAV plc – Alpine Multiple Opportunities Fund

Nu Bis Centre,
Mosta Road,
Lija LJA9012,
Malta

Telephone: +356 2576 2121

Email: investorservices@fexservfunds.com

Dear Sirs,

1. Application

- (a) The Subscriber irrevocably subscribes for the Investor Shares as specified in the Subscription Application, as may be determined in accordance with the Memorandum and Articles and the Offering documentation at the Initial Offering Price or, if this Application is made after the Closing Date, at the prevailing Offering Price per Share on the next Subscription Day following acceptance of this application by Alpine Fund SICAV plc (the "Company") on behalf of Alpine Multiple Opportunities Fund (the "Fund"). The Subscriber understands that fractional shares may be issued.
- (b) The Subscriber acknowledges the Investor Shares will be issued on the applicable Subscription Day following receipt of both the Subscription Application and the Subscription monies in cleared funds, the former of which must be received by the Company at the office of the Fexserv Fund Services Limited, (the "Administrator") and the latter of which must be received by the Company, no later than the Closing Date and thereafter within the deadlines stated in the relevant Offering Supplement.

Name of Fund: Alpine Multiple Opportunities Fund

Subscription Amount in EUR: _____

Subscription Share Class: _____ **ISIN:** _____

- (c) The Subscriber undertakes to settle for the said amount invested in full, net of bank charges, by electronic transfer for value on _____ to:

Bank Details:

Account Name:	Alpine Fund SICAV plc – Alpine Multiple Opportunities Fund - CLT
Ref:	Alpine Multiple Opportunities Fund
Bank:	Sparkasse Bank Malta pls
IBAN:	MT90SBMT55505000008000037480000
Swift:	SBMTMTMTXXX

Notes:

(i) *The Minimum Initial Subscription per Shareholder is the following:*

- Class A Investor Shares: EUR 100
- Class I (Inst.) Investor Shares: EUR 100,000

(ii) *The Minimum Additional Subscription per Shareholder is the following:*

- Class A Investor Shares: Nil
- Class I (Inst.) Investor Shares: EUR 100,000

(iii) *Any Subscription Fee payable will be deducted by the Administrator from subscription money remitted to the Fund, prior to the investment of such money in the Fund. As per the fund's Offering Supplement the following fees might be applicable:*

<i>Type of Fee</i>	<i>Class A</i>	<i>Class I</i>
<i>Subscription Fee</i>	<i>Up to 5.0%</i>	<i>N/A</i>

(iv) *The Application Form and Subscription Monies must be received no later than close of business of the relevant Valuation Day being the Business Day immediately preceding a Subscription Day and/or a Redemption Day and such other Business Day as the Directors may from time to time determine.*

2. Representations, warranties and covenants

Subscribers should take notice that by completing and executing the Subscription Application, the Subscriber is entering into the following undertakings and giving the following warranties specified herein below:

- (1) The Subscriber agrees that subscriptions and redemptions made in currencies other than the Base Currency of the relevant class of Investor Shares will be sold or purchased by the Company at market rates for the said designated currency and Investor Shares will be issued, or payment of redemption proceeds will be made, to the value of the said designated currency proceeds and the Subscriber accepts the exchange risk and costs relating to that transaction.
- (2) The Subscriber acknowledges and confirms receipt of, and that he has read, is familiar with and understands the Prospectus, the related Offering Supplement and the latest annual financial statements.
- (3) The Subscriber recognizes that an investment in a Sub-Fund of the Company may involve a high degree of risk and has taken full cognizance of and understands all of the risk factors related to the purchase of Investor Shares, including but not limited to those set forth in the Prospectus of Alpine Fund SICAV plc under the heading "Risk Factors" and such specific risk factors that may be set out in the Offering Supplement of the relevant Sub-Fund. In evaluating the suitability of an investment in the Company, the Subscriber has not relied upon any representations or other information (whether oral or written) other than as set forth herein.
- (4) The Subscriber has taken the advice of professional advisors who have sufficient knowledge and experience in financial and business matters to be capable of evaluating the merits and risks of this investment and the Subscriber is fully capable of assessing and bearing the risks involved in the Subscriber's own right or with the benefit of such professional advice received.
- (5) The Subscriber acknowledges the Minimum Investment and Minimum Holding if any applicable to the Sub-Fund as outlined in the related Offering Supplement.
- (6) The Subscriber warrants that it has knowledge, experience, and expertise in financial matters to evaluate the risks and understands the relevant Sub-Fund's investment policy, has received, read and understood the Prospectus of Alpine Fund SICAV plc and the Offering Supplement of Alpine Multiple Opportunities Fund and is aware of the risks inherent in investing in the Investor Shares relating to the Sub-Fund and the method by which the assets of the Sub-Fund are held and traded, as described in the Prospectus and the related Offering Supplement and the Subscriber can bear the risk of loss of his/her entire investment.

- (7) The Subscriber agrees that the Investor Shares hereby subscribed for will be held subject to the terms and conditions of the Memorandum and Articles of the Company as amended from time to time and that the Company will fully protect and indemnify its Directors, the Investment Manager and the Custodian including their delegates, against liability for all acts taken on his or its behalf, except for acts involving negligence or misconduct.
- (8) The Subscriber fully appreciates the Company's rights to accept or reject all applications for subscription in its sole discretion.
- (9) The Subscriber agrees that no Investor Shares hereby subscribed for may at any time be transferred to any other person without first seeking the approval of the Company in accordance with the provisions of the part entitled "Transfer of Investor Shares" under the Section entitled "Purchase, Exchange and Transfer of Investor Shares"
- (10) The Subscriber acknowledges and accepts that no share certificates will be issued unless the Subscriber specifically requests the Company to issue a share certificate and makes such requests in writing.
- (11) The Subscriber acknowledges and accepts that the Subscriptions Application is governed by Maltese law and hereby submits to the non-exclusive jurisdiction of the Courts of Malta.
- (12) The Subscriber confirms that, to the best of the Subscriber's knowledge and belief, the Subscriber's subscription monies are not, in whole or in part, the proceeds of drug trafficking or any other criminal activity, nor do they represent, in whole or in part, directly or indirectly, such proceeds.
- (13) If the Subscriber is an individual person, or is a nominee for an individual person, he warrants that he is, and the beneficial owners (if applicable) are, at the date of execution of the Subscription Application, greater of 18 years of age, or the minimum age permitted to enter into a legally binding and irrevocable contract, such as the Subscription Application, in his, or the beneficial owner's country of residence.
- (14) The Subscriber acknowledges that it has read and understood the part headed: "Prevention of Money Laundering and Data Protection" in the Prospectus and further acknowledges that the Company, Administrator or other service provider to the Company may be required by applicable laws and/or regulations to take further reasonable steps to establish the identity of the Subscriber or of any other person whom the Company, the Administrator or other service provider knows or has reason to believe is a person for whom or on whose behalf the Subscriber is acting and the Subscriber undertakes to co-operate with and assist the Company, the Administrator or other service provider in relation to such steps and the Subscriber acknowledges that the Company, the Administrator or other service provider shall be held harmless and indemnified by the Subscriber against any loss arising as a result of a failure to process the Subscription Application if any information required by the Company, the Administrator or other service provider has not been provided by the Subscriber. In this context, the Subscriber hereby agrees that it will provide the relevant information requested in terms of the Subscription Application.
- (15) The Subscriber acknowledges that if the Subscriber wishes to redeem his Investor Shares, but certain requested information has not been provided to the Company or the Administrator, the redemption will be acted upon but no monies will be paid to the Subscriber. Instead monies will be held in the Subscriber's name at the Company's account and the Subscriber will bear all associated risks.
- (16) The Subscriber confirms that, if it is a bank, insurance company, or other financial institution, or financial intermediary, which is domiciled in an EUR, OECD or FATF approved jurisdiction and is regulated by an approved regulated body, subscribing for on behalf of another person as nominee, it has verified the identity of that other person in accordance with applicable anti-money laundering laws and/or regulations.
- (17) The Subscriber consents to the release by the Remitting Bank from which the subscription was made to the Company and/or the Administrator or other service provider of all evidence of the Subscriber's identity which said bank/financial institution shall have retained. The Subscriber agrees that such evidence may further be furnished by the Company and/or the Administrator to any other service provider to the Company upon request, to enable such other service provider to meet its obligations under applicable laws and/or regulations.
- (18) The Subscriber hereby authorizes the Company and the Administrator to obtain verification of any information provided by the Subscriber as part of its subscription application.
- (19) The Subscriber agrees to provide any other information that may be required from time to time in compliance with relevant regulations.
- (20) The Subscriber acknowledges that suspicious events are reportable, under the Maltese prevention of money laundering laws and regulations and, by way of example, failure to provide justification for the change of bank

account, or a request to pay the proceeds into a bank account in a jurisdiction which the Subscriber is not a resident could be deemed suspicious and therefore would be reportable under the regulations and may cause the payment to be delayed or refused.

- (21) The Subscriber acknowledges that all information supplied to the Administrator will be subject to the protections of data protection legislation. The Subscriber further acknowledges that, should it be necessary, wither to fulfill a legal requirement or to facilitate the efficient execution of the administrative functions, that data supplied may be transferred, to the extent necessary and in compliance with data protection legislation and the provisions of the Prospectus.
- (22) The Subscriber agrees that, where redemption requests made by the Subscriber are sent to the Company at the office of the Administrator by fax, the Subscriber shall immediately send the original such notice to the Company at the office of the Administrator by post or by courier but that the Administrator shall, nonetheless, be entitled, but not obliged, to treat such fax notice at face value and to act thereon if the original has not arrived by the relevant Subscription day.
- (23) Exceptions are made where the delivery of the communication has been acknowledged by a signed receipt. The Subscriber further agrees to indemnify and hold harmless the Company, the Investment Manager, the Administrator, their directors and other officers, servants, employees and Agent / Nominees from and against any all liabilities, obligations, losses, damages, penalties, actions, judgments, suits, costs, expenses or disbursements of any kind or nature whatsoever (other than those resulting from the gross negligence, fraud or willful default of the Company, the Investment Manager, the Administrator, the Custodian their directors or other officers, servants, employees or Agent / Nominees in its treatment of such fax notice) which may be imposed on, incurred by or asserted against the Company, the Investment Manager, the Administrator, the Custodian their directors or other officers, servants employees or Agent / Nominees in its treatment of such fax notice.

3. Anti-money laundering

- (a) The Subscriber represents, warrants and covenants that:
 - (i) it is not, nor is any person or entity controlling, controlled by or under common control with the Subscriber, a Prohibited Person, and
 - (ii) to the extent the Subscriber has any beneficial owners,
 - (1) it has carried out thorough due diligence to establish the identities of such beneficial owners,
 - (2) based on such due diligence, the Subscriber reasonably believes that no such beneficial owners are Prohibited Persons,
 - (3) it holds the evidence of such identities and status and will maintain all such evidence for at least five years from the date the Subscriber's complete redemption from the Fund, and
 - (4) it will make available such evidence and any additional evidence that the Fund may require upon request in accordance with applicable regulations.
- (b) If any of the foregoing representations, warranties or covenants in (a) above ceases to be true or if the Fund no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Fund may, in accordance with applicable regulations, be obligated to take certain actions relating to the Subscriber's holding of Shares and the Fund may also be required to report such action and to disclose the Subscriber's identity to OFAC or other authority. In the event that the Fund is required to take any of the foregoing actions, the Subscriber understands and agrees that it shall have no claim against the Fund, the Investment Manager, the Administrator and their respective affiliates, directors, members, partners, shareholders, officers, employees and Agent / Nominees for any form of damages as a result of any of the aforementioned actions.
- (c) In order to comply with anti-money laundering regulations applicable to the Fund and the Administrator, the Subscriber acknowledges that Shares will not be issued until such time that the Administrator or the Fund is satisfied that evidence regarding the source of the subscription amounts, the identity of the Subscriber and the payment instructions for redemptions, is satisfactory. Wire confirmations for subscriptions from the Subscriber must match the

information provided below. Redemption proceeds will only be made to an account identified below. Subscriptions may be rejected if this information is complete or the wire confirmation does not match the information given below.

Account Name: _____

Bank: _____

Account Number: _____

IBAN: _____

SWIFT: _____

4. Power and authority

(a) If the Subscriber is an entity, the person executing this Application Form for the Subscriber represents that it has full power and authority under the Subscriber’s governing instruments to do so and the Subscriber has the full power and authority under its governing instruments to acquire Investor Shares of the Fund. If the Subscriber is acting as trustee, Agent / Nominee, representative or nominee for another person or entity, the Subscriber understands and acknowledges that the representatives, warranties and agreements made in this Application Form are made by the Subscriber

- (i) with respect to the Subscriber, and
- (ii) with respect to such other person or entity. Furthermore, the Subscriber represents and agrees that
 - (1) it is duly organized, validly existing and in good standing under the laws of its jurisdiction of organisation,
 - (2) the execution, delivery and performance by it of this Application Form are within its powers, have been duly authorized by all necessary actions on its behalf, require no action by or in respect of, or filing with, any governmental body, agency or official (except as disclosed in writing to the Fund) in order to make this investment, and does not contravene, or constitute a breach of or default under any provision of applicable law or governmental rule, regulation or policy statement or of its certificate of incorporation or other comparable organisational documents or any agreement, judgment, injunction, order, decree or other instrument binding upon it, and
 - (3) this Application Form constitutes a valid and binding agreement of the Subscriber and is enforceable against the Subscriber in accordance with its terms.

(b) If the Subscriber is an individual, the Subscriber agrees that this Application Form constitutes a valid and binding agreement of the Subscriber and is enforceable against the Subscriber in accordance with its terms, and the Subscriber has legal competence and capacity to execute the same.

5. Proper Instructions

(a) Set forth below are the names of persons authorized by the Subscriber to give and receive instructions between the Fund (or its Administrator) and the Subscriber, together with their respective signatures. Such persons are the only persons so authorized until further written notice to the Administrator signed by one or more of such persons.

<u>Names</u>	<u>Signature</u>

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- (b) The Administrator and the Fund are each hereby authorized and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by the Subscription in written form or by fax. If instructions are given by fax the Subscriber undertakes to send the original letter of instructions to the Administrator and the Fund and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon fax instructions. The Administrator and the Fund may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed in good faith to be genuine or to be signed by properly authorized persons.

6. Indemnification

The Subscriber agrees to indemnify and hold harmless the Fund, the placement Agent / Nominee(s), if any, the Administrator, their respective officers, directors and affiliates and anyone acting on their behalf from and against all damages, losses, costs and expenses (including, without limitation, reasonably attorneys' fees) which they may incur by reason of the Subscriber's failure to fulfill any of the terms or conditions of this Application Form or by reason of any material breach of the presentations and warranties made by the Subscriber herein.

7. Data Protection

- (a) A Subscriber's personal data may be utilised by the Administrator:
- (i) to properly identify the Subscriber in accordance with anti-money laundering regulatory requirements;
 - (ii) to properly record the Subscriber's interest in the Fund in accordance with relevant corporate laws and regulations;
 - (iii) to advise the Subscriber of matters relative to his/her investment in the Fund, including current values and changes to Fund documentation etc;
 - (iv) unless the Subscriber notifies the Administrator otherwise, to advise the Subscriber of other investment opportunities that may be or become available from the Fund's sponsors.
- (b) By agreeing to invest in the Fund, the Subscriber acknowledges and accepts that the Administrator may hold and process personal data for the purposes outlined above and further acknowledges and accepts that the Administrator may, in order to fulfill its duties to the Fund and comply with regulatory requirements:
- (i) retain such personal data for prescribed periods after the Subscriber has redeemed its holding in the Fund;
 - (ii) transfer such personal data, by any method including electronically, to the Fund's registered Agent / Nominee in its country of incorporation, including countries which may not have enacted data protection legislation;
 - (iii) transfer such information to the Directors, Investment Manager, legal advisers or any other Agent / Nominee of the Fund entitled to receive such information;
 - (iv) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information;
 - (v) maintain such information on the Administrator's computer systems which may be based or maintained in countries which have not enacted data protection legislation.

8. Subscriber Details

(Complete in block capital please)

(a) Registration details

Name of Subscriber: _____

Investor Account Number (applicable in case of subsequent subscriptions): _____

Registered Address: _____

Country of Birth / Incorporation: _____

Country of Citizenship (if different from country of birth) _____

Telephone No: _____

Email address: _____ Contact Name: _____

Corporation Industry / Occupation: _____

Please also proceed in completing one the below forms:

- **Annex I: Individual Self-Certification Form** in case of Subscriber being an individual (please note that separate Individual Self-Certification Forms are to be completed in case of joint Subscribers);

OR

- **Annex II: Entity Self-Certification Form** in case of Subscriber not being an individual

Intended Business and Future Investments (Tick as applicable):

1. Intended Business Relationships
 - Direct Investor
 - Nominee (investing on behalf of an individual)
 - Other (please specify) _____

2. Future Investments
 - Please indicate an estimated amount you intend to invest in the future and give an approximation of the applicable timeline in which you intend to do so.

Total amount Interested to Invest					
<input type="checkbox"/> <50,000	<input type="checkbox"/> 50,000 – 100,000	<input type="checkbox"/> 100,000 – 1,000,000	<input type="checkbox"/> 1,000,000 – 10,000,000	<input type="checkbox"/> >10,000,000	<input type="checkbox"/> Other (Please indicate below)
Timeline for the Investment					
<input type="checkbox"/> <1 year	<input type="checkbox"/> 1 - 3 years	<input type="checkbox"/> 4 - 5 years	<input type="checkbox"/> 6 – 9 years	<input type="checkbox"/> 10 years+	<input type="checkbox"/> Other (Please indicate below)

Total amount Interested to invest: Other _____

Timeline for the investment: Other _____

(b) Correspondence details

If you wish your correspondence to be sent to an address other than the registered address in (a) above, please state below.

Name _____

Address _____

Telephone _____

Email address _____

Note:

In the case of joint Subscribers, please use separate sheets for each joint Subscriber.

9. General

(a) In this Application Form, unless the contrary intention appears:

- (i) references to any statute include references to that statute as amended or re-enacted or as other statutes modify its application from time to time and to any subordinate legislation made or to be made under that statute; and
- (ii) references to the singular include the plural and vice versa; and
- (iii) references to the masculine gender include the feminine and neuter genders and vice versa; and
- (iv) references to persons include individual, companies, firms, partnerships, government bodies or agencies and corporations sole and aggregate; and
- (v) any obligations entered into by more than one person in this Application Form are entered into jointly and severally; and
- (vi) the headings shall not affect the interpretations of this Application Form.

(b) This Application Form shall be binding upon the Subscriber and its successors and permitted assigns and shall inure to the benefit of the Fund's successors and assigns. This Application Form shall survive the acceptance of the subscription.

(c) If any provision shall be found invalid or unenforceable under any applicable law, it shall be deemed inoperable to that extent and its invalidity or inoperability shall not affect any other provision hereof.

(d) This Application Form shall be irrevocable and shall be governed by and construed in accordance with the laws of the Malta. Any dispute, action or proceeding initiated by the Subscriber arising out of or in connection with this Application Form or the Articles shall be subject to the exclusive jurisdiction of Malta

THE SUBSCRIBER HAS EXECUTED THIS APPLICATION ON _____, 20_____

If more than one Subscriber, please check the appropriate box:

- Joint Shareholders (all Shareholders must sign any Redemption Request Form)
- Joint and Several Shareholders (any one Shareholder can sign any Redemption Request Form)

Signature(s) of Subscriber(s)

Name(s) of Subscriber(s) in full and title

Notes:

- (i) To be valid, Application Forms must be signed by each applicant, including all joint holders.*
- (ii) A corporation should complete this Application Form under seal or under the hand of a duly authorised corporate officer(s) who should state his capacity.*
- (iii) In the case of a firm or partnership (not a limited company), applications should be in the name of and signed by all partners.*
- (iv) If this Application Form is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany this Application Form.*
- (v) In respect of joint applicants only, on the death of one, the Shares will be held in the name of and to the order of the survivor or survivors or the executor or administrator of such survivor or survivors.*

**SCHEDULE I
ANTI MONEY LAUNDERING REQUIREMENTS**

DUE DILIGENCE DOCUMENTS

Anti-Money Laundering Regulations

As a result of anti-money laundering regulations operating in its jurisdiction, the Company and/or the Administrator may require documentation for applicants and (where applicable) their beneficial owner(s). This will be used for compliance with these regulations and to verify the identity of investors and will remain confidential. Please note that the Company and the Administrator, reserve the right to request further documentation or information. Failure to provide such documentation or information may result in rejection of this application and/or the withholding of redemption proceeds.

Investors are required to provide the full list of the applicable due diligence documentation to the Administrator upon subscription as specified below. Originals or certified true copies of all the following documents are to be translated into English. The translation should be dated, signed and certified by an independent person of proven competence confirming that it is a faithful translation of the original. Original documents should be certified to be true copies of the original by legal professional, accountancy professional, a notary, a person undertaking relevant financial business (banking, insurance, collective investment, etc.) Such certification is evidenced by a written statement stating that:

- The document is a true copy of the original document;
- The document has been seen and verified by the certifier; and
- The photo is a true likeness of the applicant for business or the beneficial owner, as the case may be.

Direct investment (Please tick one (and only one) of the following):

- Direct individual (natural persons) Investors from EEA States, Switzerland and countries who are not classed as high-risk and non-cooperative jurisdictions by the FATF – <http://www.fatf-gafi.org> (hereinafter, 'Reputable Jurisdictions)**
 1. Certified true copy of valid Passport/ID Card/ Driving Licence in colour; and
 2. Original or certified true copy of utility bill not more than 6 months old.
 3. Copy of recent curriculum vitae.

- Direct corporate (e.g. companies, partnerships, etc.) Investors whose shares are not listed on a Regulated Exchange and who are incorporated in Reputable Jurisdictions.**
 1. Original or certified true copy of signatory list or original or certified true copy of corporate resolution or equivalent permitting the corporate official(s) to sign the subscription form;
 2. Certified true copy of valid Passport/ID Card/Driving Licence of official signing the subscription form on behalf of corporate investor;
 3. Certified true copy of Memorandum and Articles of Association;
 4. Certified true copy of Extract from Commercial Register;
 5. Certified true copy of Certificate of Good Standing or Certificate of Incumbency (not more than 3 months old);
 6. Bank statement not more than 6 months old;
 7. Certified true copy of a valid Passport/ID Card/ Driving Licence and a utility bill or bank statement not more than 6 months old of all holders of 25% or more of the shares or voting rights in the corporate investor; and
 8. List of all directors of the corporate investor.

- Direct Corporate Investors whose shares are listed on a Regulated Exchange**
 1. Original or certified true copy of signatory list or original or certified true copy of corporate resolution or equivalent permitting the corporate official(s) to sign the subscription form; and
 2. Certified true copy of Extract from Commercial Register.

- Direct Regulated Investors (banks, financial institutions, pension funds, etc) from Reputable Jurisdictions.**
 1. Original or certified true copy of signatory list; and
 2. Evidence of regulation via webpage of the Supervisory Authority, or official evidence of regulation under the relevant law such as certified true copy of the license.

In addition to the above, the following must be supplied in case of a regulated trustee on behalf of a trust: -

3. Certified true copy of certificate of registration (if applicable);
4. Certified true copy of trust deed or certified true copy of an extract or extracts of trust deed identifying the name of trust, the name(s) of trustees(s), the place of establishment of the trust, the name of the settlor(s), the name of the beneficiaries and any other natural person exercising control over the trust; and
5. Certified true copy of a valid Passport/ID Card/Driving License and a utility bill or bank statement not more than 6 months' old of the settlor(s) and beneficiaries.

Investors from Non-Reputable Jurisdictions

Investors from non-Reputable must first seek clearance from the Fund's Money Laundering and Reporting Officer before investing into the Fund. Please contact the Administrator (please see contract details below) for seeking such clearance.

Investment through and authorised Agent / Nominee/ intermediary (Tick one of the following only if applicable. If the subscriber is not an authorised Agent / Nominee, please skip this section and continue to page 15).

Agent / Nominees from Reputable Jurisdictions who are Companies whose shares are listed on a Regulated Exchange or who are Regulated Entities (banks, financial institutions, pension funds, etc)

1. Original or certified true copy of signatory list; and
2. Evidence of listing/ regulation via webpage of the Supervisory Authority, or official evidence of listing/regulation under the relevant law such as a certified true copy of license.
3. Anti- Money Laundering Comfort Letter
4. Power of Attorney (if applicable)

Such Agent / Nominees are required to maintain all due diligence documentation listed in the Direct Investment Section above (together with any other documentation required to be collected and held under any prevention of money laundering and terrorist financing legislation applicable to the said Agent / Nominee in their home country) on the ultimate investors on whose behalf they are acting. Furthermore, by signing this form, the said Agent / Nominee hereby agrees represents and warrants to supply all documentation specified in Direct Investment Section above to the Fund's registered office within forty-eight (48) hours from receipt of such a request from the Fund's MLRO.

Agent / Nominees who are Companies whose shares are not listed on a Regulated Exchange and are incorporated in a Reputable Jurisdiction.

1. Original or certified true copy of documentary evidence showing that Agent / Nominee is authorised to act on behalf of principle (e.g. board resolution, certified true copy of power of attorney or agency agreement, etc)
2. Original or certified true copy of signatory list or original or certified true copy of corporate resolution or equivalent permitting the corporate official(s) of the Agent / Nominee to sign the subscription form;
3. Anti- Money Laundering Comfort Letter
4. Power of Attorney (if applicable)
5. Certified true copy of valid Passport/ID Card/ Driving Licence or official signing the subscription form on behalf of corporate investor;
6. Certified true copy of Memorandum of Articles of Association;
7. Certified true copy of Extract from Commercial Register;
8. Certified true copy of valid Passport/ID Card/ Driving Licence and a utility bill or bank statement not more than 6 months' old of all holders of 25% or more of the shares or voting rights in the corporate Agent / Nominee; and
9. List of all directors of the Agent / Nominee.

In addition to the above, the said Agent / Nominee must also supply the following depending upon the nature of the principal:

- **If Principal is a Natural Person resident of a Reputable Jurisdiction (N.B The investment is only permissible if the natural person falls within the definition of an 'Authorized Investor' as defined in the General Offering Memorandum)**

Certified true copy of a valid Passport/ID Card/Driving Licence and a utility bill or bank statement not more than 6 months' old of the principal(s).

- **If Principal is a Corporate Entity from a Reputable Jurisdiction whose shares are not listed on a Regulated Exchange and/or is not a Regulated Entity.**

All documents listed in the first paragraph of Section 4A in relation to the principal (and references to corporate investor shall be taken to refer to corporate Agent / Nominee).

- **If Principal is a Corporate Entity from a Reputable Jurisdiction whose shares are listed on a Regulated Exchange and/or is a Regulated Entity (banks, financial institutions, pension funds, etc)**

Name of principal: _____ and

Type of license: _____

- **If Principal is non-resident or incorporated in a Reputable Jurisdiction**

If principle is from a non-Reputable Jurisdiction, the Agent / Nominee must first seek clearance from the Fund's Money Laundering and Reporting Officer before investing into the Fund. Please contact the administrator (please see contact details below) for seeking such clearance.

- Agent / Nominees from Non-Reputable Jurisdictions**

Agent / Nominees from non-Reputable Jurisdictions must first seek clearance from the Fund's Money Laundering and Reporting Officer before investing into the Fund. Please contact the administrator (please see contact details below) for seeking such clearance.

SOURCE OF FUNDS & SOURCE OF WEALTH DECLARATION

N.B. This section need not be completed if the investor is a bank, or financial institutions or pension funds from Reputable Jurisdictions.

Please indicate the **source of funds** of the subscription proceeds **and** your **source of wealth** (the economic activity which generates the net worth of the investor/ principal):

Source of Funds (please tick as applicable):

- Income-savings from salary;
- Maturity or surrender of life policy;
- Sale of investments/liquidation of investment portfolio;
- Sale or Property;
- Sale of business;
- Inheritance;
- Divorce Settlement;
- Gift;
- Retirement Income;
- Company profits;
- Interest;
- Other: _____

Source of Wealth (please tick as applicable)

- Income-savings from salary;
- Maturity or surrender of life policy;
- Sale of investments/liquidation of Portfolio;
- Sale of Property;
- Sale of business;
- Inheritance
- Divorce settlement
- Retirement Income;
- Company profits;
- Other: _____

Investors are required to provide the documentary evidence on their source of funds and source of wealth to the Company and Administrator upon subscription. The following table provides a non-exhaustive list of documentary evidence that may be provided by Investors:

Source of Funds/ Wealth	Documents/ Information that may be provided:
Income-savings from salary	<ul style="list-style-type: none">• Copy of a recent pay slip• Written confirmation of annual salary /bonus amount signed by the employer on employer letter headed paper• Bank statement clearly showing receipt of most recent regular salary payments from named employer
Maturity or surrender of life policy	<ul style="list-style-type: none">• Letter from life policy provider on company letter headed paper notifying proceed of the claim

	<ul style="list-style-type: none"> • Chargeable event certificate • Closing statement
Sale of investments/liquidation of investment portfolio	<ul style="list-style-type: none"> • Investment certificate, shareholders certificate, contract notes or statements • Statement of account from Agent / Nominee • Bank statements showing receipt of the funds from investment company/ fund
Sale of property	<ul style="list-style-type: none"> • Contract of sale bank statement showing credit to the account consequent to the sale • Signed letter from lawyer or notary on letter headed paper confirming sale of property and amount • Title deed from lands authority
Sale of business	<ul style="list-style-type: none"> • Copy of sale contract and bank statement showing credit to the account consequent to the sale • Signed letter from lawyer or notary or accountant on letter headed paper confirming the sale of business and amount
Inheritance	<ul style="list-style-type: none"> • A copy of will that includes the value of estate • A lawyer or notary's letter on the letter headed paper or a letter from the trustee of an estate that include the type of asset and respective value • Tax clearance documents
Divorce/ separation settlement	<ul style="list-style-type: none"> • A copy of the court order or judicial separation agreement and verification that the funds have originated from the account of former spouse
Gift	<ul style="list-style-type: none"> • Letter from the donor showing who gave the gift, the amount, date of gift, the relationship between the donor and Investor, and (if possible) why the donation was made, together with the verification of the identity of the donor and information about the source of wealth of the donor
Retirement income	<ul style="list-style-type: none"> • Pension statement • Letter from warranted accountant on letter headed paper • Letter from annuity provider • Bank statement showing the receipt of the latest pension income and name of provider
Savings/ deposits	<ul style="list-style-type: none"> • Bank statements demonstrating the accumulated savings from where the funds were derived
Private company profits or dividends	<ul style="list-style-type: none"> • Copy of latest audited financial statements • Dividend contract note • Tax declaration form • Bank statements clearly showing receipt of the funds and the name of the company paying dividend • Letter showing dividend details signed by a warranted accountant on the letter headed paper
Other income sources	<ul style="list-style-type: none"> • Nature of income, amount, date received and from who (information may be provided by warranted accountant/ lawyer/ licensed services provider (e.g., investment company, insurance) confirming the aforementioned details) • Appropriate supporting documents

It is not precluded that the Company and/or Administrator may request further information and/or documents. Documents to be provided are to be supplied in English if not a translated version thereof should be provided.

POLITICALLY EXPOSED PERSONS

Please tick ✓ whether or not you or your principal meet the criteria for a politically exposed person, as defined in the Prevention of Money Laundering and Funding of Terrorism Regulations (Subsidiary legislation 373.01).

- I/we/ the beneficial owner/ my principal am/are/is a politically exposed person as defined hereunder.
- I/we/ the beneficial owner/ my principal am/are/is **NOT** a politically exposed person as defined hereunder.

‘Politically exposed persons’ means natural persons who are or have been entrusted with prominent public functions (i.e. Heads of State, Heads of Government, Ministers, Parliamentary Secretaries, Members of Parliament, members of the Court or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances, members of courts of auditors, Audit committees or of the boards of central banks, ambassadors, charges d’affaires and other high ranking officers in the armed forces, members of the administrative, management or boards of State-owned corporations) and shall include their immediate family members (i.e. spouse or any partner, children and their spouses or partners and the parents) or persons known to be close associates to such persons, but shall not include middle ranking or more junior officials.

EXCHANGE OF INFORMATION UNDER FATCA AND CRS

- I/We agree that any information provided to the Alpine Fund SICAV plc and/ or Administrator acting on behalf of Alpine Fund SICAV plc, may be passed to the competent authorities as may be requested by applicable law or the appropriate tax authorities for the purposes set out under FATCA and CRS.

DATA PROTECTION

Your personal data will be handled by Fexserv Fund Services Limited, as the Administrator (as Data Processor on behalf of the Company) in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the "GDPR"). You understand that we and/ or the Administrator collect, store and use the data you provide in our interactions. You have a right to request a copy of the Company’s data protection policy form the Administrator. In processing of personal data, I/ we acknowledge and agree that:

- Information supplied on this Subscription Form and otherwise in connection with my/ our subscription for Class A Investor Shares and Class I (inst) investor Shares (as applicable) (hereafter “Investor Shares”) may be held by the Administrator or its Agent / Nominee and will be used for the purposes of processing my/our subscription and investment in the Fund and completion of information on the register of Shareholders of the Fund, and may also be used for the purpose of carrying out my/our instructions or responding to any enquiry purporting to be given by me/us or on my/our behalf, dealing in any other matters relating to my/our holding of Shares (including the mailing of reports or notices), forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which any recipient of the data is subject) and to provide a marketing database for product and market research or to provide information for the dispatch of information on other products or services to me/us from the Company, the Investment Manager, or any connected person of the Investment Manager. All such information may be retained after my/our Investor Shares have been redeemed;
- The Administrator may disclose and transfer such information to the Auditors, the Investment Manager and to other duly appointed Agent / Nominees of the Administrator, and/or any of their subsidiaries and/or affiliates, including any of their employees, officers, directors and Agent / Nominees and/or to the ultimate holding company of the Investment Manager or to any third party employed to provide administrative, computer or

other services or facilities to any person to whom data is provided or may be transferred as aforesaid and/or to any regulatory authority entitled thereto by law or regulation (whether statutory or not) in connection with my/our investment in the Fund, which persons may be persons outside Malta;

- I/We hereby acknowledge that my/our personal information will be handled by the Administrator (as data processor on behalf of the Company) in accordance with the GDPR and the Data Protection Act (Chapter 440 of the Laws of Malta) (as may be amended or supplemented from time to time). I/We also acknowledge that this information will be processed by the Administrator and the Company and its delegated Agent / Nominees and service providers for the purposes of carrying out the services of administrator, registrar and transfer Agent / Nominee of the Company and to comply with legal obligations including legal obligations under company law and anti-money laundering legislation. I/We acknowledge that the Administrator or the Investment Manager will disclose my/our information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as the Auditors, the Maltese tax authorities and the Malta Financial Services Authority or Agent / Nominees of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements. I/We hereby consent to the processing of my/our information, which may include (1) the recording of telephone calls with the Administrator for the purpose of confirming data, (2) the disclosure of my/our information as outlined above to the Investment Manager, (3) the disclosure of my/our information where necessary, or in the Company's, the Investment Manager's or the Administrator's legitimate interests, to the MLRO and/or any company in the Administrator's and/or the Investment Manager's group of companies, or (4) the disclosure of my/our information to Agent / Nominees of the Administrator, including companies situated in countries outside of the European Economic Area ("EEA") which may not have the same data protection laws as in the EU;

- Where the subscriber discloses personal data in relation to other individuals, it confirms that it is acting in accordance with the GDPR in disclosing that information for the purposes set out in this Subscription Form, and warrants that it has been authorized by that individual to consent on that individual's behalf to the use of such information as relates to that individual (including the transfer of any such information outside the EEA) in the manner outlined above; and

- The Administrator may carry out electronic searches of publicly available or paid information with regard to anti-money laundering and client identification requirements and may retain records on file from such electronic searches.

Mailing Instructions

A scanned copy of this subscription form and all enclosures are to be emailed to the Administrator followed by the originals by mail:

Mail: Fexserv Fund Services Limited,
Nu Bis Centre,
Mosta Road,
Lija LJA 9012,
Malta
Tel.: +356 2576 2121
Email: investorservices@fexservfunds.com

ANNEX I

Individual Self-Certification Form

This self-certification form (the 'Form') must be completed only by individual shareholders. The information on the Form is collected for any existing or future legislation enacted by any jurisdiction that provides for the automatic exchange of information including, without limitation, the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) Regulations.

Please note that in certain circumstances the Company and the Administrator may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant IGA's, applicable regulations and guidance notes.

If any of the information below regarding your tax residency changes in the future you are obliged to notify the Company at the offices of the Administrator of these changes promptly. If you have any questions about how to complete this form, please contact your tax advisor.

Part 1: Name of Account Holder (Complete below-listed fields)

Last Name	First Name	Personal Identification No.
Email		Telephone
Current Residence Address (Name of Street and Number)		Country of Address
Town/City/Province/County/State		Postal Code/ZIP Code

Part 2: Country of Residence for Tax Purposes

State information with respect to all countries of residence, also domestic, for tax purposes. If country issues tax identification number (TIN), **TIN is required**.

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country/ies where the Account Holder is considered to be resident does/ do not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (Only select this reason of the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

1.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
2.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
3.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1.	
2.	
3.	

Part 3: FATCA Related (Mandatory field)

State information with respect to citizenship and/or tax residence in the United States.

U.S. Citizenship/Residency	
Please select <u>one</u> of the alternatives by ticking the appropriate box below:	
A. I hereby certify that <u>I am</u> a tax resident of the United States of America, and that I have stated the U.S. as one of the countries in the section above. (N.B. If you are a U.S. Citizen, you are a tax resident in the U.S.A If you are born in the U.S. you are generally regarded as a U.S. Citizen unless explicitly having renounced your citizenship)	<input type="checkbox"/>
B. I hereby certify that I am not a tax resident in the U.S.A	<input type="checkbox"/>

Part 4: Declaration and Signature

- I hereby declare that all statements made and information provided in this Individual Self-Certification Form is, to the best of my knowledge and belief, correct and complete.
- I further declare that I will inform the Company and Administrator in case of a change in circumstance that makes the information indicated above to be incorrect, incomplete or no longer apply. A new Individual Self-Certification Form shall be completed and submitted within 30 days if any information on this form becomes incorrect, incomplete or no longer apply.
- I also acknowledge that the information identified above may be provided to the tax authorities of Malta and exchange with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

Signature
Name in Block Letters
Date (DD/MM/YYYY)

ANNEX II

Entity Self-Certification Form

This self-certification form (the 'Form') is to be completed by all legal entities including, for this purpose, companies, partnerships, trusts and foundations. The information on the Form is collected for any existing or future legislation enacted by any jurisdiction that provides for the automatic exchange of information including, without limitation, the Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) Regulations.

Please note that in certain circumstances the Company and the Administrator may be obliged to share this information with relevant tax authorities. Terms referenced in this Form shall have the same meaning as applicable under the relevant IGA's, applicable regulations and guidance notes.

If any of the information below regarding your tax residency changes in the future you are obliged to notify the Company at the offices of the Administrator of these changes promptly. If you have any questions about how to complete this form, please contact your tax advisor.

Part 1: Name of Account Holder (Complete below-listed fields)

Investor Name	Registration Number (if applicable)
Country of Incorporation or Organization	Telephone
Current Registered Address (Name of Street and Number)	Country of Address
Town/City/Province/County/State	Postal Code/ZIP Code

Part 2: Mailing address

Complete below only if mailing address is different to address disclosed under Part 1

Address (Name of Street and Number)	Country of Address
Town/City/Province/County/State	Postal Code/ZIP Code

Part 3: CRS Classification

Please choose ONE of the following. You may wish to refer to CRS Regulations for further details on selected definitions used in this section.

Part 3.1: Financial Institution according to CRS	
A.	Financial Institution – Investment Entity <input type="checkbox"/>
	(i) An Investment entity located in a Non-Participating Jurisdiction and managed by another Financial Institution <input type="checkbox"/>
	(if ticking this box please also complete Part 5)
	(ii) Other Investment Entity <input type="checkbox"/>
B.	Financial Institution – Other Financial Institution <input type="checkbox"/>
If you have ticked A or B above, please provide, if held the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.	
GIIN	
Part 3.2: Active Non-Financial Entity (Active NFE) according to CRS	

A.	Active NFE – 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	<input type="checkbox"/>
If you have ticked A above, please provide the name of the established securities market on which the corporation is regularly traded.		
Securities market		
B.	Active NFE – a Government Entity or Central Bank	<input type="checkbox"/>
C.	Active NFE – an International Organization	<input type="checkbox"/>
D.	Active NFE – other than A to C (for example a start-up NFE or an ordinary trading company)	<input type="checkbox"/>
Part 3.3: Passive Non-Financial Entity (Passive NFE) according to CRS		
A.	Passive NFE (if ticking this box please also complete Part 5)	<input type="checkbox"/>
Part 3.4: Jurisdiction of Residency for Tax Purposes (CRS)		

Please provide information with respect to all countries of residence, also domestic, for tax purposes of the Account Holder. If country issues tax identification number (TIN), **TIN is required**.

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country/ies where the Account Holder is considered to be resident does/ do not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

1.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
2.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
3.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1.	
2.	
3.	

Part 4: FATCA Classification

For this Part 4, please refer to the relevant section below. You may wish to refer to FATCA Regulations for further details on selected definitions used in this section.

U.S. Entities

Financial Institutions that are not U.S. Entities

Non-Financial Foreign Entities (e.g. entities that are not U.S. Entities or Foreign Financial Institutions)

- Please complete Part 4.1
- Please complete Part 4.2
- Please complete Part 4.3

Part 4.1: U.S. Entities

Please complete **ONLY** if you are a U.S. Person. Please choose ONE of the following:

A.	A Specified U.S. Person	<input type="checkbox"/>
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If you have ticked A above, please provide the U.S. Taxpayer Identification Number (U.S. TIN):	
B.	A U.S. Person but not a Specified U.S. Person. <input type="checkbox"/>
If you have ticked B above, please provide indicate exemption:	
Part 4.2: Financial Institution according to FATCA	
Please select ONE of the following:	
A.	A Foreign Financial Institution (FFI) having a Global Intermediary Identification Number (GIIN) and the following FATCA status:
	(i) Participating FFI (PFFI) <input type="checkbox"/>
	(ii) Registered deemed-compliant FFI <input type="checkbox"/>
	(iii) Reporting Model 1 FFI <input type="checkbox"/>
	(iv) Reporting Model 2 FFI <input type="checkbox"/>
If you have ticked A above, please provide the GIIN obtained for FATCA purposes:	
B.	A Foreign Financial Institution (FFI) having a certified deemed-compliant status:
	(i) Non-registering local banks <input type="checkbox"/>
	(ii) FFI with only low-value accounts <input type="checkbox"/>
	(iii) Limited life debt investment entity <input type="checkbox"/>
	(iv) Investment advisors and investment managers <input type="checkbox"/>
C.	A Foreign Financial Institution (FFI) that has applied but not yet received a GIIN <input type="checkbox"/>
D.	A Foreign Financial Institution (FFI) with a sponsoring entity or reporting trustees having a GIIN and the following FATCA status:
	(i) Trustee documented trust <input type="checkbox"/>
	(ii) Certified deemed-compliant sponsored, closely held investment vehicle <input type="checkbox"/>
	(iii) Sponsored FFI that has not obtained a GIIN (other than a sponsored, closely held investment vehicle) <input type="checkbox"/>
	(iv) A non-reporting IGA FFI <input type="checkbox"/>
	(v) A Non-Participating FFI <input type="checkbox"/>
If you have ticked C above, please provide the sponsoring or trustee name and GIIN:	
Sponsoring/ Trustee Name:	
Sponsoring/ Trustee GIIN:	
Part 4.3: Non-Financial Foreign Entities according to FATCA	
Please select ONE of the following:	
A.	A Non- Financial Foreign Entity (NFFE) having a GIIN and the following FATCA status:
	(i) Direct reporting NFFE <input type="checkbox"/>
	(ii) Sponsored direct reporting NFFE <input type="checkbox"/>
If you have ticked A above, please provide the GIIN obtained for FATCA purposes:	
B.	Non-Financial Foreign Entity (NFFE) having no GIIN and the following FATCA status:
	(i) Active NFFE <input type="checkbox"/>
	(ii) Excepted territory NFFE <input type="checkbox"/>
	(iii) Exempt beneficial owner <input type="checkbox"/>
	Please specify type of "exempt beneficial owner":
C.	A Passive Non-Financial Foreign Entity (NFFE) <input type="checkbox"/> (if ticking this box please also complete Part 5)

Part 5: Information on controlling person(s)

If you chose the Option A in Part 3.1 or Part 3.3 (under CRS) and Option C in Part 4.3 (under FATCA), please provide information on all of the entity's controlling person/s.

If you chose **ONLY** Option C in Part 4.3 (under FATCA), please provide information on all of the entity's controlling person/s that is/ are a Specified U.S. Person.

A controlling person refers to a natural person who exercises control over the entity (e.g., a holding of over 25% in the entity). If there is no natural person(s) who exercise control over the entity then the controlling person/s will be the natural person/s who hold the position of senior managing official.

Part 5.1: Controlling person (1)		
Last Name	First Name	Personal Identification No.
Email		Telephone
Current Residence Address (Name of Street and Number)		Country of Address
Town/City/Province/County/State		Postal Code/ZIP Code

Please provide information with respect to all countries of residence, also domestic, for tax purposes. If country issues tax identification number (TIN), **TIN is required.**

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country/ies where the Account Holder is considered to be resident does/ do not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (Only select this reason of the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

1.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
2.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
3.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1.	
2.	
3.	

Please select **ONE** of the alternatives with respect to your citizenship and/or tax residence in the United States.

A.	I hereby certify that I am a tax resident of the United States of America, and that I have stated the U.S. as one of the countries in the section above. (N.B. If you are a U.S. Citizen, you are a tax resident in the U.S.A If you are born in the U.S. you are generally regarded as a U.S. Citizen unless explicitly having renounced your citizenship)	<input type="checkbox"/>
B.	I hereby certify that I am not a tax resident in the U.S.A	<input type="checkbox"/>

Part 5.2: Controlling person (2)		
Last Name	First Name	Personal Identification No.
Email		Telephone
Current Residence Address (Name of Street and Number)		Country of Address

Town/City/Province/County/State	Postal Code/ZIP Code
---------------------------------	----------------------

Please provide information with respect to all countries of residence, also domestic, for tax purposes. If country issues tax identification number (TIN), **TIN is required.**

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country/ies where the Account Holder is considered to be resident does/ do not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (Only select this reason of the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

1.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
2.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
3.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1.	
2.	
3.	

Please select **ONE** of the alternatives with respect to your citizenship and/or tax residence in the United States.

A.	I hereby certify that I am a tax resident of the United States of America, and that I have stated the U.S. as one of the countries in the section above. (N.B. If you are a U.S. Citizen, you are a tax resident in the U.S.A If you are born in the U.S. you are generally regarded as a U.S. Citizen unless explicitly having renounced your citizenship)	<input type="checkbox"/>
B.	I hereby certify that I am not a tax resident in the U.S.A	<input type="checkbox"/>

Part 5.3: Controlling person (3)

Last Name	First Name	Personal Identification No.
Email		Telephone
Current Residence Address (Name of Street and Number)		Country of Address
Town/City/Province/County/State		Postal Code/ZIP Code

Please provide information with respect to all countries of residence, also domestic, for tax purposes. If country issues tax identification number (TIN), **TIN is required.**

If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

Reason A – The country/ies where the Account Holder is considered to be resident does/ do not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (Only select this reason of the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

1.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
2.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)
3.	Country of Tax Residence	Taxpayer Identification Number (TIN)/Equivalent	Reason for no TIN (if applicable)

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1.	
2.	
3.	

Please select **ONE** of the alternatives with respect to your citizenship and/or tax residence in the United States.

A.	I hereby certify that I am a tax resident of the United States of America, and that I have stated the U.S. as one of the countries in the section above. (N.B. If you are a U.S. Citizen, you are a tax resident in the U.S.A If you are born in the U.S. you are generally regarded as a U.S. Citizen unless explicitly having renounced your citizenship)	<input type="checkbox"/>
B.	I hereby certify that I am not a tax resident in the U.S.A	<input type="checkbox"/>

Part 5: Declaration and Signature

- I/We hereby declare that all statements made and information provided in this Entity Self-Certification Form is, to the best of my knowledge and belief, correct and complete.
- I/We further declare that I/we will inform the Company and Administrator in case of a change in circumstance that makes the information indicated above to be incorrect, incomplete or no longer apply. A new Entity Self-Certification Form shall be completed and submitted within 30 days if any information on this form becomes incorrect, incomplete or no longer apply.
- I/We also acknowledge that the information identified above may be provided to the tax authorities of Malta and exchange with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

Signature/s and Designation/s authorized to sign on behalf of Account Holder
Name in Block Letters
Date (DD/MM/YYYY)

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a copy of the power of attorney.

Capacity
