

# Application Form for a Financial Institution

Once completed, please send this Application Form to:

Swedbank AS  
 Attn. Fund Services/ Transfer Agency  
 Liivalaia 8  
 15040 Tallinn  
 Estonia  
 Fax: +372 6131822  
 e-mail: ta@swedbank.ee

The Financial Institution specified in Section 1 below (hereinafter: the Investor) hereby applies to open registry account(s) in order to acquire the units of the funds indicated below (hereinafter together referred "Funds"). For each fund, a separate registry account will be opened.

Name of the Fund	ISIN
	EE
	EE
	EE
	EE
	EE
	EE
	EE
	EE
	EE

## 1 INVESTOR INFORMATION (PLEASE PRINT)

Name of the Investor	
Registration number	
Registered Address	Postcode & Country
Correspondence Address (if different from Registered Address)	Postcode & Country
Tel no.	Fax no.
Contact Person	Email Address

The registry account(s) opened by the Investor shall be (please tick the relevant box):

Proprietary account(s)

and/or

Nominee account(s)

## 2 SUBSEQUENT DEALING

Once the account is fully compliant with all AML/KYC requirements, the Investor wants to give subsequent orders to Swedbank AS (hereinafter: the Transfer Agent) by: (please tick the relevant option).

Fax

Swift ISO 20022

Other (name it) \_\_\_\_\_

The Investor wants to receive corporate action notifications/confirmation from the Transfer Agent (please tick the relevant option):

Yes

No

If yes, via the following means of communication (please tick the relevant option):

Swift ISO 15022  SWIFT BIC, if applicable: \_\_\_\_\_

E-mail  E-mail address, if applicable: \_\_\_\_\_

Subsequent order form must contain at least the following information: (1) Client full name and registry account number with Swedbank, (2) name of the Fund (3) unit class/ ISIN code and (4) amount/quantity. You can use the form provided by Transfer Agent.

Please submit your subscription order in cash amount and redemption order in unit quantity.

## 3 PAYMENT OF THE INVESTMENT

The first payment must be performed through an account opened in the name of the Investor with a credit or financial institution within EEA or a third country where anti money laundering requirements equal to those provided in legal acts of EU are in force and are subject to state supervision.

Please pay by wire transfer without charge for the beneficiary.

Upon request, the Investor must provide a copy of the wire transfer of the initial subscription, proving that the payment has been made from the Investor's own account in accordance with the requirements described above.

Wire transfers must be drawn on your own account. Third party payments are not accepted, nor are any proceeds paid to a third party on the Investor's behalf. Please pay the exact amount indicated on the order confirmation, any excess payments whereby the transfer costs would exceed the value of the re-paid amount will not be returned.

Payment details:

Currency: EUR

Correspondent Bank:	Deutsche Bank
SWIFT	DEUTDEFF
Beneficiary Bank:	Swedbank, SWIFT: HABAE2X
Beneficiary:	Fund name and IBAN (please ask the Transfer Agent for details)



## 5 REPORTING

The Transfer Agent shall provide the Investor with a confirmation for each transaction.	
Via preferred channel	<input type="checkbox"/> Fax <input type="checkbox"/> SWIFT ISO 20022 <input type="checkbox"/> <input type="checkbox"/> E-mail <input type="checkbox"/>
To the Investor	<input type="checkbox"/> Yes <input type="checkbox"/> <input type="checkbox"/> No <input type="checkbox"/>
To a third entity	Company Name: Relation with the Applicant Contact Person: Fax Number: Phone Number: E-mail address: Street, number: Postal Code: Town: Country:
The Transfer Agent shall provide the Investor with a position statement on the following basis:	
Via preferred channel	Fax <input type="checkbox"/> <input type="checkbox"/> SWIFT ISO 15022 <input type="checkbox"/> <input type="checkbox"/> E-mail <input type="checkbox"/>
To the applicant	Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Yearly <input type="checkbox"/> (default)
To a third entity	Company Name: Relation with the Applicant: Contact Person: Fax Number: Phone Number: E-mail Address: Street, number: Postal Code: Town: Country:

## 6 IDENTIFICATION AND MEASURES AGAINST MONEY LAUNDERING

The following data and documents shall be presented when opening registry account with the Transfer Agent :

1. Document(s) identifying the financial institution (FI):
  - a) Name of the FI, field of activity, seat and address of the enterprise;
  - b) Registration number and date of registration;
2. Information about beneficial owners (having 25+% of shares or voting rights or otherwise ultimate control);
3. Right of representation and document identifying the legal representative (please note that in case of non-face-to-face identification of the representative, the document identifying the representative must be notarised);
4. BIC code
5. Annual report and/ or the latest audited results (weblink is acceptable);
6. Contact list;
7. Completed Wolfsberg questionnaire and/or a AML/KYC policy statement if requested by the Transfer Agent (weblink is acceptable);
10. Completed form Data about Client's economic activities (please turn to the Transfer Agent for a template);
11. Completed form FATCA Compliance Survey (please turn to the Transfer Agent for a template).

Documents must be in English or translated in duly verified form to English by a sworn translator or with the signature of the translator being attested by a notary public and must not be older than 6 months from the date of the request to open an account.

The Transfer Agent reserves the right to a) request additional documents to comply with the obligations set forth in the Estonian Money Laundering and Terrorist Financing Act or other similar regulations, b) request the documents to be originals or notarized and apostilled copies as determined by bilateral agreements and international treaties Estonia has joined and d) make changes to these account opening requirements as determined by in-house or regulatory practices.

Pending the receipt of the details and necessary documents, the Transfer Agent will be able to take the subscription. However, no redemption or payment will be made until identification details and required documents are received. The Transfer Agent has the right to reverse the subscription or perform a compulsory redemption and close the Investor's accounts if the Investor does not meet any anti money laundering requirements by the date given by the Transfer Agent.

The Transfer Agent has the right to disclose any information or documents provided by the Investor to the Fund Management Company.

## 7 FACSIMILE / E-MAIL COMMUNICATION INDEMNITY

The Investor may give orders to the Transfer Agent by facsimile. The Investor acknowledges that facsimile transmission is not a secure form of communication and gives rise to higher risks of manipulation or attempted fraud. Facsimiles may also be of poor quality and thus unclear.

Therefore, at the Investor's request to act upon facsimile orders with respect to Investor's registry account(s):

a) until the Transfer Agent receives written notice to the contrary, the Investor authorises the Transfer Agent to act upon such orders without any reference to or further authorisation from the Investor and without enquiry whatsoever, provided that such orders are or are seen to be given by the Investor or by persons who have been notified to the Transfer Agent in the manner agreed between the Investor and the Transfer Agent; and

b) the Investor agrees to keep the Transfer Agent and the Fund Management Company indemnified from and against all liabilities, losses, costs, actions, proceedings, claims and demands which may be incurred by or brought or made against the Transfer Agent or the Fund Management Company arising directly or indirectly from the Investor having acted upon such orders in the circumstances referred to in (a) above. If this indemnity is given by more than one holder, it will be joint and several.

This indemnity is given for the benefit of the Fund Management Company and the Transfer Agent. The indemnity is governed by and shall be interpreted in accordance with Estonian law. The courts of the Estonia will have exclusive jurisdiction of all disputes arising from this indemnity.

## 8 DECLARATION

### **The undersigned declares that it is aware that:**

1. Orders must be received by the Transfer Agent on the cut-off date and time specified for each Fund in the relevant Prospectus.
2. The Fund Management Company and/or the Transfer Agent may reject this Application Form at its/their sole discretion and for any reason.
3. The Transfer Agent has the right to close the registry account without the Investor's relevant application, in case the account has had no balance for at least 6 months.
3. This Application form will be legally binding only when it is signed by an Authorised Person unless rejected according to p. 2 in this section 8.

### **The Investor further declares that:**

5. The foregoing information is true and correct and it agrees to notify the Transfer Agent of any material changes therein and authorises the Transfer Agent to confirm the information's accuracy, as the Transfer Agent deems necessary. Further, it confirms that it will comply with any requests from the Transfer Agent to renew the above mentioned documentation and information as may be requested by the Transfer Agent.
6. The execution of this Application Form and acceptance of the Investor's order(s) do not and will not violate any law, regulation, ordinance, charter, by-law, article of association or rule applicable to the Investor or any agreement by which the Investor is bound or by which any of its assets are affected.
7. It has received and reviewed the Prospectus and latest simplified prospectus of the Fund (and, where relevant, financial reports and any other documents required under any applicable laws or regulations), which it accepts in full, and it understands and considers that it can bear the risks.

8. It has been given the opportunity to ask questions and receive answers from the Fund Management Company and/or its duly appointed agents with respect to the activities and affairs to be conducted by the Fund Management Company, the terms and conditions of the offering of the Fund's units and other matters pertaining to an investment in the Fund and to evaluate the merits and risks of an investment in the Fund and make an investment decision in relation thereto.

9. It has relied upon its own independent tax, investment and legal advice.

10. It is informed that its personal data or the information given in this Application Form or orders, as well as details of its unit holding, will be stored in digital form and processed in compliance with the provisions of the Estonian laws and regulations.

**Finally, the undersigned declares that:**

11. It is dealing on its own behalf and will be registered in the Fund register as the beneficial owner of the units. If it is acting on behalf of any other party and is keeping fund units on a nominee account, it confirms it is authorised to do so. As a nominee account holder the Investor is obliged to disclose any and all information on the ultimate beneficial owners of the Fund's units as prescribed by Estonian laws and regulations, if so requested by the Transfer Agent or a relevant authority.

**9 SIGNATURE**

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Signature Print name (and title, if applicable) Date

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Signature Print name (and title, if applicable) Date

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Signature Print name (and title, if applicable) Date