

## Guinness Asset Management Funds plc

### APPLICATION FORM

### Guinness Global Equity Income Fund – 'X' share class

This application form relates to the 'X' share class in Guinness Global Equity Income Fund, launching on 15<sup>th</sup> February 2012.

As part of the launch, Guinness Asset Management are temporarily waiving the 'X' share class minimum investment of £5 million. Until the end of February 2012, the 'X' class is available for all direct investments over £5,000.

All investments received before the Fund's 3pm dealing cut off on the 'X' class launch day (15.2.12) will be invested at the 'X' class launch valuation on that day. The 'X' class will be priced for dealing each business day in Ireland thereafter.

Guinness Asset Management Funds Plc (the "Company") is an open-ended umbrella type investment company with variable capital and with

segregated liability between funds. As at the date of this Application Form, the Company has seven sub-funds (each a "Fund", together the "Funds"):

Guinness Alternative Energy Fund  
Guinness Asia Focus Fund  
Guinness China & Hong Kong Fund  
Guinness Global Energy Fund  
Guinness Global Equity Income Fund  
Guinness Global Money Managers Fund  
Guinness Global Thematic Equity Fund

Initial applications for Shares should be made using this Application Form. This should be sent by fax or email and the original document sent by post. Subsequent instructions may be made by fax or email (written instruction, signed and scanned). You may buy, sell and switch shares in the Funds on a daily basis.

### INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

**\*\* Not for use by residents of the United States of America \*\***

#### 1. Applications

Your application (this "Application") to invest in the Company should be made by sending the application form ("Application Form") to the Administrators:

Guinness Asset Management Funds plc  
c/o Capita Financial Administrators (Ireland) Ltd  
Montague House (1<sup>st</sup> Floor)  
Adelaide Road  
Dublin 2, Ireland

Tel: +353 1 400 5300  
Fax: +353 1 400 5350  
Email: [dublinta@capitafinancial.com](mailto:dublinta@capitafinancial.com)

**Applicants (the "Applicant") must read the Prospectus, relevant Supplement and the relevant Simplified Prospectus / relevant Key Investor Information Document before completing this form. Defined terms used herein and in this application form ("Application Form") shall have the same meaning as in the Prospectus dated 11 February 2011 (the "Prospectus").**

**This Application Form is the property of the Company and may not be tampered with or amended without the consent of the Company. Any breach of the foregoing may render the Application void and expose the Applicant to a potential liability.**

Capita Financial Administrators (Ireland) Limited (the "Administrator"), acting on the Company's behalf, must be sent a completed Application Form for each Share issue together with relevant Anti Money Laundering documents. Applications accepted and received by the Administrator prior to the Dealing Deadline of 3pm Irish time for any Dealing Day will be processed on that Dealing Day. Any applications received after the Dealing Deadline for a particular Dealing Day will be processed on the following Dealing Day unless the Directors in their absolute discretion otherwise determine to accept one or more applications received after the Dealing Deadline for processing on that Dealing Day provided that such application(s) have been received prior to the Valuation Point for the particular Dealing Day.

All applications must be made in writing using the printed Application Form. Please write name(s) using block capitals and fill in the address as indicated. Where there are joint applicants, all correspondence will be sent to

the first named applicant at that address. Where application is made by fax, the original signed Application Form must be mailed to the Company, at the above address within ten business days.

**2. Payment**

Payment for applications must be received in cleared funds by the Administrator within three days of the date of the application. The net amount received by the Administrator will be the amount invested, any charges associated with the payment being borne by the applicant. Payment should be sent to:

Bank	JPMorgan Chase Bank, N.A, London
BIC	CHASGB2L
Account name	Guinness Asset Management Funds plc
Account for US\$	IBAN: GB37CHAS60924237615502 Correspondent bank: JPMorgan Chase Bank, N.A New York (CHASUS33)
Account for £ Sterling	IBAN: GB64CHAS60924237615501 Sort code 60-92-42 account number 37615501
Account for Euros	IBAN: GB10CHAS60924237615503

Subscription monies are payable in the currency of denomination of the relevant Share Class. If you send payment in a different currency your payment will be converted into the currency of denomination of the relevant Share Class at the rate of exchange available to the Administrator. Any cost of conversion will be deducted and the amount remaining will then be invested in Shares.

**3. General Information**

Shares will not be finally allotted until the Administrator is satisfied that cleared funds have been received together with a completed Application Form.

The Company reserves the right to reject any application in whole or in part without giving any reason for such rejection in which event the subscription monies or any balance thereof will be returned without interest, expenses or compensation to the applicant by transfer to the applicant’s designated account or by post at the applicant’s risk.

If the amount paid does not correspond to a specific number of Shares, the Company will issue such number of Shares as is applicable, calculated to two decimal points.

**4. Contract Notes**

It is anticipated that confirmation of ownership of each purchase of Shares will be sent to applicants within 48 hours of the purchase being made. Title of Shares will be evidenced by the entering of the investor’s name on the Company’s register of Shareholders and no certificates will be issued.

**5. Redemptions**

Redemption requests may be submitted by fax to the Company at (+353) 1 400 5350, provided that the original signed redemption request is received by the Administrator on behalf of the Company, prior to the settlement date. Failure to comply with the above will result in non payment of the redemption proceeds. Redemptions will not be processed on non-cleared/verified accounts

The Administrator, on the Company’s behalf, will confirm in writing within 5 Business Days of receipt all faxed redemption requests which are received in good order. Investors failing to receive such written confirmation from the Administrator within 5 Business Days should contact the Company via Administrator at (+353) 1 400 5300 to obtain the same.

**Failure to obtain such written confirmation will render faxed instructions void.**

**6. Queries**

All queries regarding the completion of the Application Form should be addressed to the Company care of the Administrator and specifying the fund to which the query relates.

**7. Checklist**

	Page(s)	Completed
All applicants – complete <i>Details of Applicant</i>	3, 4	
All applicants – sign and date application form	8	

## APPLICATION FORM

## 1. Details of Applicant &amp; Introducing Agent

## Registration Details (please PRINT in CAPITAL LETTERS)

First Applicant					
Title	Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	
	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	
	Other	<input type="checkbox"/>			
Surname					
First name					
Middle name(s)				D.O.B dd/mm/yy	__/__/__
Joint Applicant (1)					
Surname					
First name					
Middle name(s)				D.O.B dd/mm/yy	__/__/__
Joint Applicant (2)					
Surname					
First name					
Middle name(s)				D.O.B dd/mm/yy	__/__/__
Correspondence address					
Phone		Fax		Email	
Company / Entity name (if applicable)					
Registered Business address					

Investor bank account details	
Name of bank	
Swift/Sort Code	
Bank Address	
IBAN	
Account number	
Account name	
Corresponding Bank	
Swift address	

Subscription monies must come from the account detailed above.

Redemption/Distribution money will be paid to the account above.

No third party payments will be made.

Introducing Agent	
Name	
Company Name	
Address	
Company Registration No.	
Are you regulated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Regulator name and website	

## 2. Investment details

	Class requested	Currency remitted (US\$, £, Euro)	Amount remitted
Guinness Global Equity Income Fund	X		

Classes available:

Class	Currency of denomination	Minimum initial subscription	Minimum further subscription
A	US\$	US\$200,000	US\$10,000
B	US\$	US\$20,000	US\$10,000
C	£ Sterling	£5,000	£5,000
D	Euro	€100,000	€10,000
E	US\$	US\$10,000,000	US\$10,000
<b>X</b>	<b>£ Sterling</b>	<b>£5,000,000*</b>	<b>£5,000</b>

**\*As part of the launch of the Guinness Global Equity Income Fund 'X' share class, Guinness Asset Management are temporarily waiving the 'X' share class minimum investment of £5 million. Until the end of February 2012, the 'X' class is available for all direct investments over £5,000.**

Any application which does not meet the criteria for the class requested may at the discretion of the Administrator be treated as an application for the appropriate class as determined by the Administrator. Please refer to the relevant Fund Supplements for details about the different classes.

Subscription monies are payable in the currency of denomination of the relevant Share Class. If you send payment in a different currency your payment will be converted into the currency of denomination of the relevant Share Class at the rate of exchange available to the Administrator. Any cost of conversion will be deducted and the amount remaining will then be invested in Shares.

## 3. Dividend reinvestment

Please tick as appropriate. If left incomplete all dividends will be reinvested.

**Either:** Please reinvest all dividends into shares of the same class in the Funds.

**Or:** Please pay all dividends to the bank account specified on page 4 by electronic transfer (subject to the minimum payment amounts as set out in the Prospectus).

## 4. Disclosure statement

To: Guinness Asset Management Funds plc; Capita Financial Administrators (Ireland) Limited; and Capita Financial Managers (Ireland) Limited.

- (1) Shares in the Company are issued in registered form. Proof of title is evidenced by reference to the Register.
- (2) I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, and that I/we am/are not acting on behalf of a US Person(s), nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person, and will promptly notify the Administrator if I/we should become a US person.
- (3) I/We warrant that I/we have the right and authority to make the investment pursuant to this Application Form, whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of the Prospectus, Supplement and/or any laws or regulations of any relevant jurisdiction and I/we hereby agree to indemnify the Company, the Fund, the Custodian, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.

- (4) I/We hereby confirm that the Company, the Fund, the Directors and the Administrator acting on behalf of the Company, are each authorised and instructed to accept and execute any subsequent instructions in respect of the Shares to which this Application relates given by me/us in written form or by facsimile. I/We hereby indemnify the Company, the Fund, the Directors and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting on my/our facsimile instructions. The Company, the Fund, the Directors and the Administrator 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 authorised persons.
- (5) I/We understand that the tax disclosures set forth in the Prospectus thereto is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- (6) I am/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans ("ERISA Plans") subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended ("ERISA"), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a "plan" in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively "Qualified Plans"), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.
- (7) I/We, having received, read and considered a copy of the Prospectus, relevant supplement and the relevant simplified prospectus / key investor information document the full index rules as referred to in the Prospectus and any relevant supplement current at the date of this subscription, hereby confirm that this Application is based solely on the Prospectus and material contracts referred to therein, together (where applicable) with the most recent Annual Report and Accounts of the Company and (if issued after such report and accounts) its most recent Unaudited Semi-Annual Report. I/We hereby undertake to observe and be bound by the provisions of the Memorandum of Association of the Company and apply to be entered in the Register of Shareholders as the registered holder/holders of the Shares issued in relation to this Application.
- (8) I/We acknowledge that the Company, the Administrator acting on behalf of the Company and any delegate may require certain due diligence documentation in order to comply with all Anti-Money Laundering and Counter Financing of Terrorism regulatory and legislative requirements in force in Ireland which would include but are not limited to proof of identity, address and source of funds before processing applications and redemption requests, and the Company and/or the Administrator and its delegate shall be held harmless and indemnified against any loss ensuing due to the failure to process this Application, if such information as has been required by the parties hereto has not been provided by me/us.
- (9) I/We hereby acknowledge that I/we have read and fully considered and understand the Prospectus in connection with this Application for Shares in the Company and that I/we have evaluated my/our investment in the Company in the light of my/our financial condition and resources. I/We confirm that I/we am/are aware of the risks involved in investing in the Company and that an inherent risk in this investment is the potential to lose all of my/our investment. I/We hereby further acknowledge that I/we am/are applying for Shares on the basis of the Prospectus and that I/we have not relied on any representations or statements made or information provided by or on behalf of the Company other than information contained in the Prospectus.
- (10) I/We agree to provide these confirmations to the Company at such times as the Company may request, and to provide on request such certifications, documents or other evidence as the Company may reasonably require to substantiate such representations.
- (11) I/We agree to notify the Company immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to have redeemed or to tender to the Company for redemption a sufficient number of Shares to allow the confirmation to be made.
- (12) I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this Application/Transfer may be accepted.
- (13) (In respect of Joint applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) or the estate of the last remaining survivor.
- (14) I/We acknowledge and agree that, where I/we fail to meet all of the Administrator's verification and identification policies as applied from time to time in the Administrator's compliance with all applicable anti-money laundering and counter financing of terrorism laws and regulation imposed upon me/us, the Administrator, after notification to the Directors where relevant, may suspend any additional subscriptions, redemptions or other dealings on the account in respect of my/our holding in the Fund until I/we comply with such applicable verification and identification standards. Where relevant, any event of suspension set out above shall be notified without delay to the relevant authorities. Where possible, all reasonable steps will be taken to bring the period of suspension of issuance of statements of account to an end as soon as such investor complies with such verification and identification standards in force and is no longer in breach of any applicable law or regulation.
- (15) I/We request that the Shares issued pursuant to this application are registered in the name(s) and address set out below.

- (16) I/We acknowledge that our personal information will be handled by the Administrator (as Data Processor on behalf of the Company) in accordance with the Data Protection Acts 1988 to 2003. My/our information will be processed for the purposes of carrying out the services of Administrator, registrar and transfer agent of and on behalf of the Company and to comply with legal obligations including legal obligations under law and anti-money laundering and counter financing of terrorism legislation. The Company or the Administrator, acting on behalf of the Company, will disclose my/our information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as auditors, the Irish Revenue Authorities pursuant to the EU Savings Directive and the Central Bank of Ireland or agents 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. This may include the recording of telephone calls with the Administrator for the purpose of confirming data, and the disclosure of his/her information as outlined above and to the Investment Manager and where necessary or in the Company's or the Administrator's legitimate interests, to any fund in the Administrator's and/or the Investment Manager's group of companies or agents of the Administrator, including companies situated in countries outside of the European Economic Area. These countries may not have the same data protection laws as in Ireland.
- (17) I/We hereby represent that I/we and the persons we represent as agent or nominee or our beneficial owners or persons who control us or are controlled by us is/are not a prohibited country, territory, individual or entity listed on the US Department of Treasury's Office of Foreign Assets Control ("OFAC") website at [www.treas.gov/ofac](http://www.treas.gov/ofac) or that any of them is, as described in the website, a foreign shell bank or a senior foreign political figure or an immediate family member or close associate of a senior foreign political figure and subscription monies are not directly or indirectly derived from activities that may contravene United States federal or state, or international, laws and regulations, including anti-money laundering laws and regulations.
- (18) I/We authorise the intermediary named on page 3 of this Application to give instructions relating to the conversion of any portion of my/our shareholding in the shares in the fund on my/our behalf and to give redemption instructions to the Administrator. I/We acknowledge that, in the case of redemption instructions given by such intermediary, redemption proceeds are payable only to the same bank account, where the subscription monies were remitted from the details of which are set out on page 4 of this Application Form. I/We hereby confirm that we will ensure that a certified list of authorised signatories of the Intermediary accompanies this Application Form. (delete if not applicable).

## 5. EU Savings Directive Requirements

### Council Directive 2003/48/EC on taxation of savings income in the form of interest payments (the "Directive")

In the event that you elect to invest in any of the Sub Funds listed as per the attachment, either initially or at a later date, the provisions of the "Directive" may apply to your investment. The Directive imposes requirements on Administrators to collect certain information from investors who have invested in schemes or sub-funds that have, as its main investment policy, the investment in debt securities. The Directive will apply to paying agents in an EU Member State who make certain interest payments to individuals and certain other "residual entities" (but excluding in general terms legal persons and those subject to business taxation, proof of eligibility to avail of any exclusion may be required) within another EU Member State. In accordance with the stated investment objective of the Fund(s) it is possible that they may be sufficiently invested in debt claims for the Directive to apply on redemption's and/or distributions.

Therefore, if redemption proceeds and/or distributions of the Fund(s) are deemed to include interest for these purposes it will be necessary for the Administrator to collect certain information about relevant payees which would be passed to the appropriate EU tax authority, together with details concerning the redemption/distributions.

Accordingly, in order to enable us to comply with our requirements under the Directive, please also furnish us with your tax identification number or in the absence of such a number, confirmation of place of birth and documentary verification of same, e.g. duly certified passport or official ID if it confirms the number/place of birth or certificate of residence for tax purposes.

<b>Tax Identification Number or Place of Birth of First Applicant</b>	
<b>Tax Identification Number or Place of Birth of Second Applicant</b>	

We can confirm that such information obtained by us pursuant to the Directive will only be applied in order to enable us to fulfill our obligations under the Directive and for no other purpose.

## 6. Anti-Money Laundering

We require detailed verification of the Investor's identity for anti-money laundering purposes, in accordance with the Criminal Justice (Money Laundering & Terrorist Financing) Act 2010.

The information in Appendix 1 will provide you with the minimum requirements for different types of applicants, for example individuals and corporate entities. It is strongly recommended that you contact the Administrator for full list of identification / verification documents before you place a subscription.

## 7. Signatures & declaration of residence outside the Republic of Ireland

Applicants resident outside the Republic of Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares.

### (a) Declaration on own behalf

I/we\* declare that I am/we are\* applying for the Shares on my own/our own behalf/on behalf of a company\* and that I am/we are/the company is\* entitled to the Shares in respect of which this declaration is made and that:

- I am/we are/the company is\* not currently resident or ordinarily resident in Ireland, and
- Should I/we/the company\* become resident in the Republic of Ireland I/we\* will so inform the Company, in writing, accordingly.

### (b) Declaration as Intermediary

I/we\* declare that I am/we are\* applying for Shares on behalf of persons:

- who will be beneficially entitled to the Shares; and
- who, to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident in Ireland.

I/we\* also declare that:

- unless I/we\* specifically notify you to the contrary at the time of application, all application for Shares made by me/us\* from the date of this application will be made on behalf of such persons; and
- I/we\* will inform you in writing if I/we\* become aware that any person, on whose behalf I/we\* holds Shares, becomes resident in Ireland.

If neither of these declarations apply, please tick this box  and refer to note 4 below. *\*Delete as appropriate.*

### Notes:

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. **To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.**
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. If you are resident or ordinarily resident in Ireland or an exempt resident as defined in the prospectus or are an Irish resident company within the charge to corporation tax, please contact the Administrator.

I/we the undersigned request that the Shares issued pursuant to this application are registered in the name set out below.

<b>First Applicant Name</b>			
<b>Signature</b>		<b>Date</b> dd/mm/yy	__/__/__
<b>Capacity of Authorised Signatory</b> (if applicable)			
<b>Second Applicant Name</b>			
<b>Signature</b>		<b>Date</b> dd/mm/yy	__/__/__
<b>Capacity of Authorised Signatory</b> (if applicable)			
<b>Third Applicant Name</b>			
<b>Signature</b>		<b>Date</b> dd/mm/yy	__/__/__
<b>Capacity of Authorised Signatory</b> (if applicable)			
<b>Fourth Applicant Name</b>			
<b>Signature</b>		<b>Date</b> dd/mm/yy	__/__/__
<b>Capacity of Authorised Signatory</b> (if applicable)			

**IMPORTANT:** To be valid, Application Forms must be signed by each Applicant and received by the Administrator. In the case of a legal entity or legal arrangement Applications should be executed under seal or signed by duly authorised signatories provided that a certified copy of the authorised signatories list together with sample signatures and details of any signing protocol accompanies the Application. If this Application is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany it. The right is reserved to reject any Application in whole or in part, or to seek such further information as the Company may require to satisfy itself in regard to the identity and legal capacity of any Applicant. I/we the above signed request that the Shares issued pursuant to this application are registered in the name set out above.

## Appendix 1

**ANTI-MONEY LAUNDERING REQUIREMENTS****Individual Person**

*(If the investment is in more than 1 name then the below information will be required for each person named. Further, in such a case the signing authority requirements should be outlined.)*

1. Certified copy of Passport/Drivers License or other form of government issued identity card with photograph included;
2. 1 original or certified copy of confirmation of address in investor's name dated within the last 3 months (utility bill, tax statement, bank statement or equivalent);
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;
4. For all subscriptions of  $\geq 50,000$  (EUR/USD/GBP): Description of the origin of the money subscribed into the fund, for example, savings from employment income, proceeds of sale, inheritance, company profits etc;

**Financial Institutions acting as Nominee / Intermediary**

*(Regulated by an appropriate regulator and meeting certain regulatory standards regarding Anti Money Laundering and Counter Financing of Terrorism)*

1. Proof of regulation;
2. A list of all authorised signatories, samples of all signatures and details of any signing protocol;
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;
4. Completed Appendix 2;

**Financial Institutions acting as Principal**

*(Regulated by an appropriate regulator and meeting certain regulatory standards regarding Anti Money Laundering and Counter Financing of Terrorism)*

1. Proof of regulation;
2. A list of all authorised signatories, samples of all signatures and details of any signing protocol;
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;
4. Confirmation that the investment was made as Principal (for it's own account) and that Capita will be informed if any future investments are made on a nominee basis;

**Unregulated Corporate Entity**

*(This section does not apply to the entities listed on a regulated market, investment funds or wholly owned subsidiaries of the regulated entities investing in a nominee capacity)*

1. Certified copy of Certificate of Incorporation and any Change of Name Certificate;
2. Certified copy of Memorandum and Articles of Association or statute of the corporate entity;
3. Description of the nature of business conducted;
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;
5. A certificate of incumbency or other list certified by the company secretary, registered agent or a director of the corporate entity, giving the names, dates of birth and addresses of all directors. If the director is another corporate entity we will require the same information as above on its directors;
6. A list of all beneficial owners of 25%+ of the share capital, and the beneficial owners of the monies invested (if different), plus personal information on each person (as per point 1, 2 and 4 in the Individual Person section above);
7. A list of all authorised signatories certified by the company secretary or directors, samples of all signatures, details of any signing protocol;
8. Personal information (as per point 1 and 2 in the Individual Person section above) on at least 2 directors, or 1 director and 1 authorised signatory, or 2 authorised signatories;
9. If other legal entities own more than 25% each of the subscribing entity, the information as per point 1, 2 and 6 of this section must be given for these entities;

## Trusts

1. Certified copy of Trust Deed and any supplementary agreements thereto;
2. Written details on the purpose for which the Trust was established;
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;
4. List of trustees and:
  - If the trustees are individual persons information on all as detailed in point 1 and 2 of the Individual Person section above;
  - If the trustee is a regulated entity or a wholly owned subsidiary of a regulated entity, a proof of regulation is required for trustee or its parent;
  - If the trustee is an unregulated legal entity, the information as detailed in point 1, 2 and 5 of the Unregulated Corporate Entity section above, plus personal information on at least 2 its directors as per point 1 and 2 of the Individual Person section above;
5. Details of settlor of the Trust as per point 1 and 2 of the Individual Person section above and confirmation of the source of assets used to establish the Trust;
6. List and details of all beneficiaries and protector (if any) as per point 1 and 2 of the Individual Person section above. If a beneficiary is a legal entity, information as per 1 or 2 and 6 of the Unregulated Corporate Entity section must be given for this entity;
7. A list of all authorised signatories certified by the Trustee(s), samples of all signatures, details of any signing protocol and personal information on all authorised signatories as per point 1 and 2 of the Individual Person section above;

## Companies having securities listed on a Regulated Market

*(This section does not apply to investment funds)*

1. Proof of listing
2. Copy of Certificate of Incorporation and any Change of Name Certificate, or Memorandum & Articles of Association / statute of the corporate entity;
3. A list of Directors names;
4. A list of all authorised signatories, samples of all signatures, details of any signing protocol;
5. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;

## Investment Funds

If an investor is another fund regulated in the EU or a country prescribed by the Irish Minister for Justice please provide all information as detailed in the Financial Institutions acting as Nominee / Intermediary section above.

If an investor is a fund which is unregulated or regulated outside the EU / country prescribed by the Irish Minister for Justice, please contact Capita for a list of requirements.

## Partnerships or Other Unincorporated Businesses

*(This section does not apply to investment funds)*

1. Certified copy of Constitutional Document (e.g. Partnership Agreement / Operating Agreement or equivalent);
2. A letter confirming the name of General Partner / Managing Member / Chief Executive Officer, or all Directors giving the dates of birth and addresses for all. If General Partner, Managing Member or Director is a corporate entity we will require a letter confirming the names, addresses and dates of birth of its directors;
3. A list of all beneficial owners of 25%+ and personal information on each individual as detailed in point 1, 2 and 4 of the Individual Person section above. If the beneficial owner is a corporate entity we will require information as detailed in point 1,2 and 6 of the Unregulated Corporate Entity section above;
4. A list of all authorised signatories certified by General Partner / Managing Member / Chief Executive Officer or directors, samples of all signatures, details of any signing protocol;
5. Personal information on General Partner / Managing Member / Chief Executive Officer / Director and at least 1 other authorised signatory (if any) as detailed in point 1 and 2 of the Individual Person section above;
6. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;

### **Approved Occupational Pension Schemes**

1. Proof of revenue approval;
2. List of trustees / administrators / directors of the scheme;
3. Most recent audited accounts;
4. A list of all authorised signatories, samples of all signatures, details of any signing protocol;
5. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;

### **Large Foundations and other Non-Profit Organisations**

1. Certified copy of Trust Deed if trust, or Constitutional Document if other legal entity;
2. List of trustees / administrators / directors
3. Details on the nature / purpose and funding of the Foundation / Organisation;
4. A certified list of all authorised signatories, samples of all signatures, details of any signing protocol;
5. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor;

#### **\*Certification Standards:**

The standard requires that a statement such as “I confirm that this is a true copy of the original document, which was sighted by me”, is written on the document. The certifier should also include the detail of the capacity in which they are signing the document. Only the “true ink” copies are acceptable (scanned / faxed copies of certified copies will not be accepted). Self-Certification (i.e. a person signing his own passport) is NOT permitted.

The following are generally accepted to certify documents:

- a notary public / solicitor, an accountant, a police officer, embassy staff, a member of the judiciary, a bank official or a suitably senior employee of another regulated financial institution.

#### **\*Documents in Another Language:**

If the document is not in English relevant details may need to be translated and, if this is the case, the certification should also include a statement that the translation is a true translation.

**NOTE: Additional information may be required if an investor is based outside of the EU / country prescribed by the Minister for Justice. Capita may be required to carry out certain on-going monitoring to confirm that information previously provided remains valid and correct, hence, Capita reserves the right to request further information if deemed necessary.**

Appendix 2

**INTRODUCING AGENT – DECLARATION AND SIGNATURES**

Guinness Asset Management Funds plc  
 c/o Capita Financial Administrators (Ireland) Limited  
 1st Floor, Montague House  
 Adelaide Road  
 Dublin 2, Ireland

Date (dd/mm/yy): \_\_ / \_\_ / \_\_

**RE: Investment in the name of** *(Name of Investor)* .....

Dear Sir or Madam,

We, *(Name of your Company)*....., are authorised and regulated in

*(Relevant Country)* ..... by the *(Name of Regulatory Body)* .....,

under the *(Relevant Law)* .....

We comply with all Anti-Money Laundering (“AML”) and Counter Financing of Terrorism (“CFT”) regulatory and legislative requirements in force in *(Relevant Country)* .....

Specific Details:

- We conduct due diligence, in the form of the collection of appropriate documentary evidence and other relevant checks on all our clients and where applicable beneficial owners, in line with the requirements.
- If the client is regulated entity acting in a nominee capacity we take reasonable measures to confirm that the entity is complying with its own AML / CFT obligations and also to confirm that appropriate documents on the beneficial owners will be made available.
- We comply with all requirements regarding the retention of AML documents which, at the date of this letter, are that all documents must be retained for at least *(insert number)* ..... years after the relationship between us and our client has ended.
- If we believe that a client and / or a transaction would be deemed suspicious we report such suspicion to the appropriate competent authorities, as obliged by the requirements.
- We maintain processes for screening of all clients and where applicable beneficial owners against EU sanction lists and Politically Exposed Persons (“PEP”) lists. If a client / beneficial owner is identified as a PEP, enhanced due diligence will be carried out. If a client / beneficial owner is identified as a terrorist / sanctioned person or entity, the information will be provided to all appropriate authorities.

We acknowledge that the Fund is placing reliance on *(Name of your Company)*..... for the purposes of meeting the due diligence obligations which it is subject to under Irish law, and we agree to furnish you with the documentary evidence retained by us concerning our client (s) and where applicable beneficial owners, promptly upon request.

Yours faithfully,

.....  
*Relevant Signature*