

**KYC FORM A**  
**IDENTIFICATION FOR INDIVIDUAL INVESTOR**  
E-mail: accountopeningta@bbpp.lu

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms	Sex	<input type="checkbox"/> M <input type="checkbox"/> F
First name		Last name	
Residential Address <sup>1</sup>	Street/N°		
	City/Town		
	Post Code		
	Country		
Tel:		Fax:	
E-mail <sup>2</sup>			
Nationality			
Date of birth		Place of birth (city and country)	
ID or passport	N°		
	Issued by		
	Issue Date		
	Expiration Date		
Politically Exposed Person	I declare that I am or I have been entrusted with prominent public functions (or to be closely connected to a politically exposed person): <input type="checkbox"/> Yes, please specify: _____ <input type="checkbox"/> No		

**1.1. POWERS OF ATTORNEY (IF APPLICABLE)**

**We will need to receive a certified true copy of the ID of this person**

This power of attorney authorizes Banque de Patrimoines Privés and the Fund to execute any future instructions received from the following person and for:

Transactions concerned	<input type="checkbox"/> all dealing instructions <input type="checkbox"/> subscriptions only <input type="checkbox"/> redemptions only <input type="checkbox"/> other (please specify): _____
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Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms	Sex	<input type="checkbox"/> M <input type="checkbox"/> F
First name		Last name	
Residential Address <sup>3</sup>	Street/N°		

<sup>1</sup> This address will be the registered address for the purpose of the Share Register. Evidence of such address may be requested. PO Boxes or 'care of' addresses are not accepted. This Email address will be used to send you the convening notices to the general meetings of the Fund.

<sup>2</sup> This Email address will be used to send you the drawdown notices (if applicable) and the convening notices to the general meetings of the Fund.

<sup>3</sup> Evidence of such address may be requested. PO Boxes or 'care of' addresses are not accepted.

	City/Town	
	Post Code	
	Country	
Correspondence Address (if different)	Attn / Company	
	Street/N°	
	City/Town	
	Post Code	
	Country	
Tel:		Fax:
E-mail		
Nationality		
Date of birth		Place of birth (city and country)
ID or passport	N°	
	Issued by	
	Issue Date	
	Expiration Date	
Politically Exposed Person	I declare that I am or I have been entrusted with prominent public functions (or to be closely connected to a politically exposed person): <input type="checkbox"/> Yes, please specify: _____ <input type="checkbox"/> No	

### 1.2. CORRESPONDANCE

Please enter your preferred address for all correspondence (if different from the mailing address provided in Clause 1). P.O. Box can be accepted only if a residential address is provided in Clause 1. This address will be used to send you confirmation of your holding(s) in the Fund.

Correspondence Address	Attn / Company	
	Street/N°	
	City/Town	
	Post Code	
	Country	
Tel:		Fax:

### 1.3. BANK ACCOUNT DETAILS

Please provide your bank account details from which the subscription amount will be transferred:

Account holder <sup>4</sup>		
Bank's details	Bank's name	

<sup>4</sup> The bank account must be in your name. Payments to a third party other than the investor are not permitted.

	Street/N°	
	City/Town	
	Post Code	
	Country	
IBAN		
BIC/SWIFT Code		
National Code (e.g. BLZ, BC, Sort code)		
Account number		
Account currency		
Settlement Currency <sup>5</sup>		

Please provide your bank account details below for the receipt of redemption proceeds, dividends or other payments you may be entitled to, **if different from the bank account mentioned in the previous §**

Account holder <sup>6</sup>		
Bank's details	Bank's name	
	Street/N°	
	City/Town	
	Post Code	
	Country	
IBAN		
BIC/SWIFT Code		
National Code (e.g. BLZ, BC, Sort code)		
Account number		
Account currency		
Settlement Currency <sup>5</sup>		

#### 1.4. DIVIDENDS

Dividends (if applicable) should be:
<input type="checkbox"/> reinvested
<input type="checkbox"/> paid on the bank account provided in Clause 1.3.

#### 1.5. REPORTING

Please specify to whom the following reporting should be sent:

Contract note for each transaction	<input type="checkbox"/> to the applicant at his/her correspondence address
	<input type="checkbox"/> to a third party at the address below
Holding confirmation	<input type="checkbox"/> to the applicant at his/her correspondence address
	<input type="checkbox"/> to a third party at the address below

<sup>5</sup> Payments will be made in the settlement currency for which **you may bear exchange rate expenses** if different from the reference currency of the Class of Shares (or Sub-Fund in the absence of Class of Shares) invested or from the currency selected by the Fund or from your bank account's currency.

<sup>6</sup> The bank account must be in your name. **Payments to a third party other than the investor are not permitted.**

	On the following basis:
<input type="checkbox"/> monthly	<input type="checkbox"/> quarterly
<input type="checkbox"/> yearly	

The investor declares by ticking this box  that he consents to receive reports (statements of holdings, contract notes, convening notices and drawdown notices, if applicable) by non-encrypted e-mail from BPP. He acknowledges that this information will be sent on a non-secured basis through the internet network and BPP will not be held responsible about potential interception of this information for harmful or fraudulent use.

The following e-mail address(es) should be used in that purpose:

	@	
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\*Third party details, **if applicable:**

Name of entity			
Relation with applicant			
Address	Street/N°		
	City/Town		
	Post Code		
	Country		
Contact person			
Tel:		Fax:	
E-mail			

By signing hereunder, I declare that:

- I have full legal capacity
- the funds invested do not come from a criminal or unlawful origin and in particular do not constitute the proceeds of money laundering;
- I acknowledge that Banque de Patrimoines Privés, acting as data controller, shall process my personal data provided to fulfill this document, complying with Data Protection regulations and the CRS Law.
- I have been informed that Banque de Patrimoines Privés shall process my personal data provided in this KYC form, only for the purpose of complying with legal obligations in regards of Anti-Money Laundering and Terrorism Financing.
- all the information provided is true, correct and complete and undertake to provide a new declaration if any information becomes incorrect or changes, within 30 days, even if are referring to a third person different from me, for which I have obtained the correspondent consent.

Name / Denomination	Title	Date (dd/mm/yy)	Signature

**1.6. AML/KYC DOCUMENTS TO BE PROVIDED:**

- passport or national identity card (certified as true copy by an ambassador, consulate, notary or local police)
- Permanent residence address : please provide a certified copy of one of the following documents : a certificate of residence or utility bill if ID cards do not bear recent address
- Source of wealth, **please provide a certified copy of the most appropriate document(s): portfolio , statement (from your bank or broker), notary act, income tax document,....**

**SOURCE OF WEALTH DECLARATION**

Occupation	<input type="checkbox"/> Employee <input type="checkbox"/> Student <input type="checkbox"/> Self-employed <input type="checkbox"/> Director / Partner / Management <input type="checkbox"/> Retired (please mention the information on your last position in the following boxes) <input type="checkbox"/> Other (please specify) _____
Profession	
Job Title	
Business line / Field of activity	
Executed within a	<input type="checkbox"/> Public administration <input type="checkbox"/> Small/medium size company <input type="checkbox"/> Listed company <input type="checkbox"/> Multinational <input type="checkbox"/> Other (please specify) _____
Employer	Employer country
Best estimate of annual regular income <sup>7</sup>	<input type="checkbox"/> up to EUR 50,000 <input type="checkbox"/> up to EUR 100,000 <input type="checkbox"/> up to EUR 250,000 <input type="checkbox"/> up to EUR 500,000 <input type="checkbox"/> up to EUR 1,000,000 <input type="checkbox"/> more than EUR 1,000,000
Best estimate of total assets <sup>8</sup>	<input type="checkbox"/> up to EUR 100,000 <input type="checkbox"/> up to EUR 250,000 <input type="checkbox"/> up to EUR 500,000 <input type="checkbox"/> up to EUR 1,000,000 <input type="checkbox"/> up to EUR 5,000,000 <input type="checkbox"/> more than EUR 5,000,000
Source of Funds	I confirm that investments made are with monies arising from (tick as applicable) <input type="checkbox"/> Savings <input type="checkbox"/> Investments/insurance policy <input type="checkbox"/> Employment Income <input type="checkbox"/> Sale of Real estate <input type="checkbox"/> Occupation&Business Activity <input type="checkbox"/> Inheritance <input type="checkbox"/> Other (please specify): _____ <b>To be completed with a certified copy of the most appropriate document(s): portfolio , statement (from your bank or broker), notary act, income tax document; comfort letter from your Bank, ....</b>  <input type="checkbox"/> I declare that the money invested does not come from a third party and is drawn from my own

<sup>7</sup> includes without limitation income from professional occupation, retirement, pension benefits, investment income, lease or renting of real estate.

<sup>8</sup> Estimation of the global wealth includes liquidities, investments, real estate, etc...

Planned frequency of future investment	<input type="checkbox"/> Lump sum <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Quarterly <input type="checkbox"/> Yearly <input type="checkbox"/> Other (please specify) _____
Expected average amount per investment	<input type="checkbox"/> up to EUR 125,000 <input type="checkbox"/> more than EUR 125,000
Expected total amount to invest	<input type="checkbox"/> up to EUR 125,000 <input type="checkbox"/> up to EUR 300,000 <input type="checkbox"/> up to EUR 500,000 <input type="checkbox"/> more than EUR 500,000 (please specify): _____
Expected period of investment	<input type="checkbox"/> Short term <input type="checkbox"/> Middle term <input type="checkbox"/> Long term

**By signing hereunder, I declare that:**

- I have full legal capacity
- I confirm that the monies invested do not originate directly or indirectly from illegal or criminal activities and more generally do not contravene to applicable anti-money laundering laws and regulations.
- I acknowledge that Banque de Patrimoines Privés, acting as data controller, shall process my personal data provided to fulfill this document, complying with Data Protection regulations and the CRS Law.
- I have been informed that Banque de Patrimoines Privés shall process my personal data provided in this KYC form, only for the purpose of complying with legal obligations in regards of Anti-Money Laundering and Terrorism Financing.
- All the information provided is true, correct and complete and undertake to provide a new declaration if any information becomes incorrect or changes, within 30 days, even if are referring to a third person different from me, for which I have obtained the correspondent consent.

Name / Denomination	Title	Date (dd/mm/yy)	Signature

## TAX INFORMATION

The Tax Regulations<sup>(9)</sup> currently in force require to collect (via a specific self-certification) additional information from the investor, such as the tax residency, the tax classifications and the citizenship status. Further, as an Account Holder, you are legally required to complete and provide this tax form upon account opening.

In case of any questions regarding the Tax Regulations, please contact your tax adviser or your competent tax authorities.

Please complete all the appropriate sections below and in case of any change in circumstances, provide the updated self-certification including such changes within 30 (thirty) days following the said change of circumstances. You declare that the information provided is to the best of your knowledge and belief, accurate and complete.

### **INDIVIDUAL'S TAX RESIDENCE SELF-CERTIFICATION**

#### **Automatic Exchange of Information for the Common Reporting Standards (AEOI-CRS) under the Organisation for Economic Co-operation and Development (OECD)**

Tax residency is required for AEOI-CRS purposes, so please indicate all countries in which you are resident for tax purposes and the associated Tax Identification Number (TIN). For further information on this regulation (e.g. the definitions), please go to the official portal: <http://www.oecd.org/tax/automatic-exchange/>

Country(ies) of residence for tax purposes\*

Tax Identification Numbers\*

Or tick if TIN   
unavailable

I certify that the Financial Account's holder is not a resident for tax purposes in a country other than the country indicated in section 1 above (tick the box).

#### **Additional countries of residence for tax purposes (if any)**

I certify that, in addition to the country indicated in above section, that I am also resident for tax purposes in the following countries and that the TIN attached to each additional country is shown below or that I have ticked the box to indicate that the TIN of one of these countries is unavailable (please use a separate sheet of paper if you are resident for tax purposes in more than three additional countries):

Country:\*                      TIN:\*                      or TIN unavailable:

Country:\*                      TIN:\*                      or TIN unavailable:

#### **Statements and signature**

<sup>9</sup> The term "Tax regulations" refers to regulations created to enable Automatic Exchange Of Information (AEOI). It is not limited but includes the Foreign Account Tax Compliance Act (FATCA) contained in the US Hire Act 2010 and the Common Reporting Standard (CRS) approved by the Organisation for Economic Co-operation and Development (OECD) Council on 15 July 2014 for automatic exchange of financial account information.

I acknowledge that the information concerning my account(s) and the information contained in this KYC form will be sent to the Luxembourg tax authorities, for the purposes of compliance with CRS obligations exclusively.

I acknowledge that I have been informed that such information will also be automatically exchanged with the tax authorities of any Reportable Jurisdiction(s) in which I am resident for tax purposes.

I acknowledge that Banque de Patrimoines Privés, acting as data controller, shall process my personal data provided to fulfill this document, in accordance with the law dated 2 August 2002 relating to the protection of individuals with regard to the processing of personal data (the "2002 Law") and Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data ("GDPR") that, according to such regulations and the CRS Law, I have been informed that Banque de Patrimoines Privés shall process my personal data provided in this KYC form, only for the purpose of comply with legal obligations in regards of Anti-Money Laundering and Terrorism Financing.

I undertake to inform the financial institution of any Change in Circumstances and to provide it with a new signed and dated valid self-certification, highlighting such Change in Circumstances, within 30 (thirty) days from such Change in Circumstances.

I certify that all the statements made in this form are accurate and complete, even if are referring to a third person different from me, for which I have obtained the correspondent consent.

Signature of the Account Holder:

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Last name, first name\*:

Date \* \_\_\_\_\_

**In case of Change in Circumstances, please highlight any information that has changed in the updated form communicated to us.**



**FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)**

**Complete the right section\*** (“I AM / WE ARE US PERSON” or “I AM / WE ARE NOT US PERSON”) and provide the appropriate documentation\*. For further information on this regulation (e.g. definitions), please go to the official portal: <https://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>

- I AM / WE ARE US PERSON for the purposes of the American tax law (link with the US, e.g.: professional, Green card, residence, nationality, long stay, taxation with spouse considered “US Person”)** (For joint accounts, each subscriber shall provide the relevant confirmation)

We undertake to provide BPP Bank Luxembourg a **W9 Form duly filled and electronically signed** in accordance with the principles of the US Tax laws. <https://www.irs.gov/pub/irs-pdf/fw9.pdf>

- I AM / WE ARE NOT US PERSON for the purposes of the American tax law (link with the US, e.g.: professional, Green card, residence, nationality, long stay, taxation with spouse considered “US Person”)** (For joint accounts, each subscriber shall provide the relevant confirmation)

We undertake to provide BPP Bank Luxembourg a **W8BEN Form duly filled and electronically signed** in accordance with the principles of the US Tax laws. <https://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

Specific FATCA conditions could be found in the prospectus of the funds.

The account opening and subscriptions are not authorized if you do not provide the above mentioned FATCA documentation or the other tax information.

I acknowledge that the information (i.e. contained in this account opening form and especially in this tax form and all other required tax information such as the account balance, the amount of revenue and sale proceeds paid or credited to the Financial Account) may be reported to the competent tax authorities, if required.

\*As an Account holder  or authorized signatory  (provide the certified copy of the power of attorney), I hereby sign the tax information form:

**By signing hereunder, I declare that:**

- I have full legal capacity.
- I acknowledge that Banque de Patrimoines Privés, acting as data controller, shall process my personal data provided to fulfill this document, complying with Data Protection regulations and the CRS Law.
- I have been informed that Banque de Patrimoines Privés shall process my personal data provided in this KYC form, only for the purpose of complying with legal obligations in regards of Anti-Money Laundering and Terrorism Financing.
- All the information provided is true, correct and complete and undertake to provide a new declaration if any information becomes incorrect or changes, within 30 days, even if are referring to a third person different from me, for which I have obtained the correspondent consent..

Name / Denomination	Title	Date (dd/mm/yy)	Signature

## **DECLARATION OF FISCAL CONFORMITY**

As Beneficial Owner,

o I confirm and I commit to abide to my fiscal obligations (declaration and payment of tax) towards the authorities of the country (ies) where I am required to pay tax related to all assets that I owe via the company administered by BPP governed by the service agreement signed..

o I admit having been informed that the detention of certain assets can have fiscal consequences independent of the place of fiscal residence and I take notice that it is recommended to consult with my experts and fiscal advisors in order to determine my obligations towards the declaration.

o I confirm that BPP has informed me that by not conforming to my fiscal obligations, I can be liable to financial penalties and/or criminal charges in my country of fiscal residence.

Finally, I am aware that in accordance to international agreements, taken by the Grand Duchy of Luxembourg, my name can be transmitted, on demand and if the conditions underlying the international agreements are respected, to foreign competent authorities, including fiscal authorities and that BPP has no responsibility regarding the sanctions that I would incur due to the non-respect of my obligations in the matter.

Name / Denomination	Title	Date (dd/mm/yy)	Signature

**IDENTIFICATION OF THE POLITICALLY EXPOSED PERSON(S) ("PEP")**

Tick this box if one of the people mentioned on this form is a "Politically Exposed Person" (PEP)

Name and first name	Status (refer to "a-b-c" categories as described in the Glossary)	Mandate

**CONTACT PERSON WHO IS FAMILIAR WITH THE BENEFICIAL OWNER(S) WITH THE BENEFICIAL OWNER(S)**

Depending on the answers provided on this form, we may contact you for further information concerning your Beneficial Owner(s)

Name and first name of the Contact Person	Telephone number	E-mail Address