

Aviva Investors Liquidity Funds PLC

Application Form

This form relates to the opening of an account with the Administrator to hold Shares subscribed for. Once the form has been accepted by the Administrator and the Administrator has completed all Anti-Money Laundering/Know Your Customer checks on the Investor an account number will be given to the applicant. Separate forms for subscriptions or redemption of Shares are available from the Administrator or the Aviva Investors Client Services Team (see below).

To: J.P. Morgan Administration Services (Ireland) Ltd,
200 Capital Dock
79 Sir John Rogerson's Quay
Dublin 2
D02 RK57
Ireland

Tel: + 353 1 612 3349
Fax: + 353 1 686 9248
Email: aviva.transfer.agency@jpmorgan.com

(the "Administrator")

The Applicant anticipates entering into one or more transactions for the subscription for, and redemption of, Shares (each a "Transaction") in Sub-Funds of the Aviva Investors Liquidity Funds plc (an umbrella fund with segregated liability between sub-funds) that are or will be governed by this Application Form, the relevant Subscription/Redemption Form, and the Prospectus, and Key Investor Information Document (KIID) referred to below.

Accordingly, the parties agree that unless defined elsewhere in this Application Form, all capitalised terms used herein shall have the meanings assigned to them in the Prospectus and Key Investor Information Document (KIID) of the Fund (the "Prospectus, KIID"). Neither the Prospectus, KIID nor this Application Form constitutes an offer or solicitation to anyone in any state of the United States (except in a transaction which does not violate US securities laws) or in any other jurisdiction in which such offer or solicitation is not authorised.

Where requested, please send the original hard copy of your completed application form with wet ink signatures to:

Aviva Investors Liquidity Funds PLC

J.P. Morgan Administration Services (Ireland) Ltd,
200 Capital Dock
79 Sir John Rogerson's Quay
Dublin 2
D02 RK57
Ireland

Application forms must be completed in their entirety and in block capitals. Incomplete or illegible forms will be rejected.

Notification of any inaccuracies on contract notes issued after deals have been processed must be communicated to the Administrator immediately upon receipt.

In the event of any inconsistency or ambiguity in relation to the meaning of any word or phrase between the Prospectus, KIID and this form, the Prospectus shall prevail. All disputes as to the terms of this form, the Prospectus and the KIID shall be governed by this form with the Prospectus, and shall be construed in accordance with the laws of Ireland.

Important note: Please note that if your account[s] is [are] inactive for more than 13 months they will be made dormant on the last business day of the 13th month. Should you wish to "reactivate" your dormant account at a later stage, it will be considered a new application whereby AML and KYC requirements will need to be met again and a new account number will be issued.

This form will give the investors access to the following funds for all Share Classes, unless specified otherwise:

Aviva Investors Sterling Liquidity Government Fund¹

Aviva Investors Sterling Liquidity Fund²

Aviva Investors Sterling Liquidity Plus Fund³

Aviva Investors Euro Liquidity Fund⁴

Aviva Investors US Dollar Liquidity Fund⁵

Aviva Investors Sterling Standard Liquidity Fund⁶

¹ Sterling Government Liquidity Fund - The Aviva Investors Sterling Government Liquidity Fund is a Short-Term Low-Volatility Net Asset Value (LVNAV) Money Market Fund.

² Sterling Liquidity Fund - The Aviva Investors Sterling Liquidity Fund is a Short-Term Low-Volatility Net Asset Value (LVNAV) Money Market Fund.

³ Sterling Liquidity Plus Fund - The Aviva Investors Sterling Liquidity Plus Fund is an ultra short duration bond fund - Variable Net Asset Value (VNAV)

⁴ Euro Liquidity Fund - The Aviva Investors Euro Liquidity Fund is a Short-Term Variable Net Asset Value (VNAV) Money Market Fund.

⁵ US Dollar Liquidity Fund - The Aviva Investors US Dollar Liquidity Fund is a Short-Term Low-Volatility Net Asset Value (LVNAV) Money Market Fund.

⁶ Sterling Standard Liquidity Fund - The Aviva Investors Sterling Standard Liquidity Fund is a Standard Variable Net Asset Value (VNAV) Money Market Fund.

Aviva Investors contacts:

Anthony Callcott	+44 (0)20 7809 6680
Scott Playle	+44 (0)20 7809 6357
Beth Jones	+44 (0)20 7809 6281
Tarek Smili	+31 6 85269008
Or email: liquiditysolutions@avivainvestors.com	

1. Applicant details

Individual/Company Name:	<input type="text"/>
Designation (if applicable)	<input type="text"/>
Company registration number (if appropriate):	<input type="text"/>
Registered Address (PO Box is not accepted):	<input type="text"/>
Tax ID Number:	<input type="text"/>
Mailing Address (if different from above):	<input type="text"/>
Primary Contact Details:	Tel: <input type="text"/> Fax: <input type="text"/>
E-Mail Address:	<input type="text"/>

Please confirm the name of your Auditor to allow the Administrator to release Audit information requests.

Auditor:

2. Authorised signatories

Please indicate each signatory's specific authority by ticking the appropriate box(es) and attach an additional signatory list or separate dealing mandate if required.

Name	Title	Signature	Authorised signatory	Authorised dealer
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please specify if one or two signatures are required for fax trading One ☐ Two ☐

Please indicate the number of signatures required to make changes to the account One ☐ Two ☐

3. Capacity of Applicant

Please tick one of the two boxes below, as appropriate for you as an investor:

☐ **Declaration - investing on own behalf** The Applicant declares that it is applying for Shares on its own behalf and that it will be legally and beneficially entitled to the Shares issued to it under this and any subsequent application for Shares (unless otherwise notified in writing to the Fund).

☐ **Declaration - acting as intermediary** The Applicant declares that it is applying for Shares that will be held on behalf of another person or entity and not on its own behalf and such other person/entity will be beneficially entitled to the Shares issued to the Applicant by the Fund both in respect of this Application and any future application by the Applicant (unless otherwise notified in writing to the Fund).

4. Electronic reporting

Email	Job title	Telephone number	Trade confirmations	Monthly statements	Daily yields
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Investment details

Please Specify relevant Share
Class Number / Letter

☐

Accumulating

☐

Income

Aviva Investors Liquidity Funds plc offers a telephone dealing facility for subsequent subscriptions and redemptions for shares of these funds. Should you wish to use this facility please tick the box below.

I hereby authorise that the Fund be allowed to accept and execute instructions by telephone ☐

6. Dividend options

Dividend and distributions (where applicable – please tick. NB This does not apply to the Aviva Investors Sterling Liquidity Plus Fund):

Reinvest all dividends in the same fund through automatic purchase of additional shares of the same class. ☐

Pay all dividends to the bank account listed below ☐ If neither box is ticked this will automatically result in all dividends being reinvested.

7. Your bank account details for remitting subscription and redemptions amounts

3rd party payments are not permitted.

	GBP	Euro	US Dollar
Correspondent Bank:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Swift:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Beneficiary Bank:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sort Code:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Swift:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Name:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Number:	<input type="text"/>	<input type="text"/>	<input type="text"/>
IBAN:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reference:	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please ensure subscription proceeds are paid with value to the following bank details (net of handling charges and fees):

	GBP	Euro	US Dollar
Correspondent Bank:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Correspondent Bank SWIFT:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Bank:	JP Morgan Bank London	JP Morgan Bank London	JPMorgan Chase Bank, New York
Swift code:	CHASGB2L	CHASGB2L	CHASUS33
Or sort code:	60-92-42	60-92-42	ABA routing number: 021000021
Account name:	Aviva Investors Liquidity GBP	Aviva Investors Liquidity EUR	Aviva Investors Liquidity USD
IBAN	GB27CHAS60924267104264	GB54CHAS60924267104263	N/A
Account number:	67104264	67104263	530900155
Ref:	[Investor name]	[Investor name]	[Investor name]

8. Money laundering regulations

Please contact Aviva Investors Liquidity Funds team (contacts on Page 2) or J.P. Morgan Administration Services (Ireland) Ltd.

9. Data protection

Personal Information

We collect and use personal information about you to enable you to make an investment in the Fund and to administer and manage the Fund. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at www.avivainvestors.com or request a copy by writing to us at the address stated in the "Contacting Us" section below.

The data controller(s) responsible for this personal information is Aviva Investors Liquidity Funds plc.

Personal information we collect and how we use it

We will use your personal information:

- To administer and operate the Fund and your investment in it: we need this to carry out our contract with you as a Shareholder;
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our investors and improve our investor engagement and for external analysis, financial or regulatory reporting and market research purposes;
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Central Bank of Ireland), to comply with law enforcement and revenue authorities and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth, contact details, tax ID numbers, proof of address and financial information.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with your investment into the Fund.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment in the Fund. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer or manage the Fund. We will have appropriate contractual arrangements in place with any data processors that we appoint;
- With regulatory bodies, revenue authorities and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation; and
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area ("EEA"). We'll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on the jurisdictions in question and the legal steps taken to protect your personal data please see our privacy policy at www.avivainvestors.com or contact us.

How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment in the Fund and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

Your rights

You have various rights in relation to your personal information, including the right to request access your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact The Data Privacy Office, Aviva Investors, 80 Fenchurch Street, London EC3M 4AE.

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Irish Data Protection Authority at any time.

Marketing - How we keep you informed

With your consent, the Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help Aviva Group identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva's products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

I consent to the use of my personal data for such purposes. ☐

You may withdraw your consent at any time by contacting us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

10. Representations and consents

Indemnity

This documentation is only required prior to the Applicant's first investment, unless a subsequent investment is on behalf of a third party which has not previously invested in the Fund. Failure to provide all requested documentation will result in the application being refused. Applicants will be notified by either facsimile transmission or by mail of such refusal.

The Applicant acknowledges that the Fund, the Directors, the Manager, the Distributor, the Investment Manager and the Administrator shall be held harmless and indemnified against any direct loss suffered by them (excluding any incidental or consequential loss, loss of profits, and any losses resulting from any such party's own negligence, fraud or wilful misconduct) arising as a result of the refusal of an application or failure to process an application where information has been requested from the Applicant by any of the parties referred to above and has not been provided by the Applicant.

The Applicant warrants that it has the capacity, right and authority to complete this form, to make the representations and give the indemnities referred to in this form, and to make the investment pursuant to this form, whether the investment is its own or is made on behalf of another person or entity, and that the Applicant is not in breach of any laws or regulations of any competent jurisdiction or any of its own constitutional documents.

The Applicant hereby agrees to indemnify the Fund, the Directors, the Manager, the Investment Manager, the Administrator, the Distributor and the other Shareholders and any duly appointed agents of any of the foregoing entities (each an "Indemnified Party") for any direct loss suffered by them (excluding any incidental or consequential loss, loss of profits, and any losses resulting from any Indemnified Party's own negligence, fraud or wilful misconduct) as a result of the warranties/representations made or information provided by the Applicant in this form not being true, or as a result of the Applicant acquiring or holding Shares in the Fund where, by virtue of the Applicant so acquiring or holding, the Applicant is in breach of the laws of any competent jurisdiction to which it is subject.

The Applicant

The Applicant hereby applies to be entered in the register of shareholders as the holder(s) of the Shares issued pursuant to your acceptance of this form and its subsequent subscription(s). However, the Applicant acknowledges that the Administrator reserves the right in certain circumstances to register any Shares issued to the Applicant in relation to this application in a different format where this is necessary to comply with legal requirements.

The Applicant confirms that, if an individual, he/she is/they are 18 years of age or over.

The Applicant, having read, received, considered and understood a copy of the Prospectus and KIID current at the date of this form, (incorporated herein by reference), confirms that this application is based solely on the Prospectus and KIID together with the most recent annual report and accounts of the Fund or (where applicable) its most recent unaudited half-yearly report and agrees to be bound by the terms of the Prospectus and KIID. The Applicant undertakes to observe and be bound by the provisions of the Fund's memorandum and articles of association (as amended from time to time) (the "M&A") together with the Prospectus, KIID and other relevant fund documentation.

To the Applicant's full satisfaction, the Applicant has been furnished with such other materials the Applicant has requested relating to the Fund, the offering of Shares, or any statement made in the Prospectus and KIID, and the Applicant has been afforded the opportunity to ask questions of, and receive answers from, representatives of the Fund concerning the Fund and the terms and conditions of the offering of Shares. The Applicant has also been offered an opportunity to obtain any additional information necessary to verify the accuracy of any representation or information set forth in the Prospectus and KIID and any other matters relevant to its decision to invest in the Shares. The Applicant, for itself and for any person/entity for which it holds Shares, acknowledges and agrees that it is aware of all risks relating to the acquisition and holding of Shares and it has the necessary expertise and has received all necessary advice prior to making any application for Shares.

Immediately prior to the execution of this form: (a) the Applicant (or, where the Applicant is making the investment on behalf of another person or entity, that other person or entity) personally possesses sufficient knowledge and experience in financial and business matters (including experience with investments of a similar nature to investments of the Fund and the relevant Sub-Fund(s)) to be capable of evaluating the merits and risks of an investment in the Shares; and (b) the Applicant and any account for which the Applicant may be acting have sufficient financial resources to be able to bear the economic risk of a complete loss of the investment in the Shares.

The Applicant acknowledges that it is not subscribing pursuant hereto for Shares as a result of, or pursuant to: (i) any advertisement, article, notice or other communications published in any newspaper, magazine or similar media (including any internet site whose information about the Fund) or broadcast over television or radio; or (ii) any seminar or meeting whose attendees, including the Applicant, had been invited as a result of, or pursuant to, any of the foregoing.

The Applicant is acquiring the Shares (for its own account, or for the account or benefit of other investors), for investment purposes only and not with a view toward distributing or reselling the Shares in whole or in part.

The Applicant agrees to the terms and conditions in section 9. "Data Protection" above.

The Applicant agrees to complete the appropriate declaration of residence (the "Declaration") included in this form and acknowledges that if the Declaration is not completed or is incomplete, the Fund will be entitled to deduct appropriate tax from any payments or transfers of Shares to the Applicant or redeem and cancel such number of Shares as are required to meet the appropriate tax and will pay the appropriate tax in respect of such Shares to the Irish tax authorities, as described in the Prospectus and KIID.

The Applicant agrees that any Shares purchased and settled by the Applicant through Euroclear, Fundsettle or Clearstream, will be registered in the nominee name of that entity.

The Applicant acknowledges that it may receive or have access to confidential proprietary information concerning the Fund, including, without limitation, portfolio positions, valuations, information regarding potential investments, financial information, trade secrets and the like (collectively, "Confidential Information"), which is proprietary in nature and non-public. Subject to any terms to the contrary in any separate agreement or side letter between the Applicant and Aviva Investors in relation to the Fund, the Applicant agrees that it shall not disclose or cause to be disclosed any Confidential Information to any person or use any Confidential Information for the Applicant's own purposes or the Applicant's own account, except in connection with its investment in the Fund and except as otherwise required by any regulatory authority, law or regulation, or by legal process. Furthermore, subject to any terms to the contrary in any separate agreement or side letter between the Applicant and Aviva Investors in relation to the Fund, the Applicant has not reproduced, duplicated or delivered the Prospectus and KIID, this form or any other relevant fund documentation to any other person, except professional advisers to the Applicant, to comply with applicable laws or as instructed or otherwise agreed to by the Fund.

Automatic exchange of information

The Applicant acknowledges that the Fund or the Administrator on its behalf intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") regulations, (ii) any applicable law relating to the OECD Common Reporting Standard ("CRS") or (iii) any provisions imposed on the Fund under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA"), the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information, sections 891E, 891F or 891G of the Taxes Consolidation Act 1997 ("TCA") and any applicable regulations implementing the same so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations, the IGA, CRS and any other applicable laws relating to the automatic exchange of information.

The Applicant agrees to provide to the Fund, the Administrator, the Manager, the Investment Manager, the Distributor and/or the Sub-Investment Manager the necessary FATCA/ CRS self-certification declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of the FATCA regulations, the IGA, CRS, any law arising out of sections 891E, 891F or 891G of the TCA as described above, and any other applicable laws relating to the automatic exchange of information or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, the Applicant agrees to notify the Fund, the Administrator, the Manager, the Investment Manager, the Distributor and the Sub-Investment Manager immediately of any such change and further agrees to immediately take such action as the Fund, the Administrator, the Manager, the Investment Manager, the Distributor and/or the Sub-Investment Manager may direct, including where appropriate, redemption of its Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund, the Administrator, the Manager, the Investment Manager, the Distributor and/or the Sub-Investment Manager (as applicable). If relevant, the Applicant agrees to notify the Fund, the Manager and the Administrator of any change to its tax residency status. The Applicant hereby also agrees to indemnify and keep indemnified the Fund, the Administrator, the Depositary, the Manager, the Investment Manager, the Distributor and/or the Sub-Investment Manager against any direct loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) suffered by them (excluding any incidental or consequential loss, loss of profits, and any losses resulting from any such party's own negligence, fraud or wilful misconduct) arising as a result of the Applicant's failure to meet its obligations pursuant to this section or failure to provide such information which has been requested by the Fund, the Administrator, the Manager, the Investment Manager, the Distributor and/or the Sub-Investment Manager and has not been provided by it.

The Applicant further acknowledges that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of its entire holding in the Fund, and that the Fund and the Administrator are authorised to hold back from redemption proceeds or other distributions to it such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and the Applicant hereby indemnifies and keeps indemnified the Fund and the

10. Representations and consents (continued)

Administrator against any direct loss (but excluding any incidental or consequential loss, loss of profits, and any losses resulting from any such party's own negligence, fraud or wilful misconduct) suffered by them or other Shareholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

Dealing

Instructions for the purchase or redemption of Shares in the Fund must be received by no later than the relevant Dealing Deadline in respect of the relevant Dealing Day as described in the Prospectus and KIID, as may be amended from time to time. If payment in full in cleared funds in respect of an application has not been received by the relevant Settlement Date (as specified in the Prospectus and KIID) or in the event of non clearance, any provisional allotment of shares made in respect of such application may be cancelled. In such circumstances the Directors may charge the Applicant for any expense incurred by the Fund and for any loss to the Fund arising out of such non-receipt or non-clearance as described fully in the Prospectus and KIID.

The Administrator, the Fund and its Directors are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this form relates (whether applied for now or subsequently) given by an Authorised Signatory, as designated in section 2. above, in written form or by facsimile or, in the case of the Administrator, by telephone (where applicable), without the necessity to seek confirmation of such instructions or the authority of the relevant Authorised Signatory to issue them from the Applicant.

Transactions entered by telephone will be recorded for the protection of the Applicant, Manager, Administrator and the Fund. Telephone dealing is only permitted on subscriptions and redemptions following receipt of this form, supporting documentation in relation to anti money laundering requirements and otherwise and where the Shareholder has elected to avail of this service. The Applicant agrees that the Administrator, and the Fund agrees that the Applicant, may record all telephone conversations between it and the Administrator in respect of the Fund (including the directors, officers, employees or agents of the Applicant) and that such tape recordings may be submitted in evidence in relation to its verbal instructions.

The Applicant hereby agrees to indemnify each of the Administrator, the Depositary, the Distributor, the Manager, the Fund and the Directors and agrees to keep each of them jointly and severally indemnified against any direct loss (but excluding any incidental or consequential loss, or loss of profits) arising to any of them as a result of any of them acting upon instructions (including, for the avoidance of doubt, facsimile, electronic or telephone instructions) received from Authorised Signatories except to the extent such loss arises as a result of the negligence, fraud or wilful misconduct of the Administrator, the Depositary, the Distributor, the Manager, the Fund or the Directors. The Applicant acknowledges that signed instructions will be required to effect a change in the Applicant's Bank Account Details for redemption payments. Where requested, the original hard copy of your instruction must also be provided. The Applicant acknowledges that the Administrator, the Distributor, the Manager, the Fund and the Directors may rely conclusively upon and shall incur no liability in respect of any action taken upon such notice, consent, request, instruction or other instrument believed to be genuine or to be signed or otherwise given by Authorised Signatories.

Payment of redemption proceeds will be delayed until the Administrator has received the application form agreement and the originals of any supporting anti-money laundering or related documentation. Third party payments are not permitted. The Applicant agrees (i) to provide these representations to the Fund at such times as the Fund may request, and (ii) to provide on request such certifications, documents or other evidence as the Fund may reasonably require to substantiate such representations.

The Applicant agrees to notify the Fund immediately if the Applicant becomes aware that any of the representations is no longer accurate and complete in all respects and agrees immediately either to sell or to tender to the Fund for redemption a sufficient number of Shares to allow the representation to be made.

The Applicant understands that if this application is rejected, the Administrator shall (subject to the Applicant complying with all anti-money laundering requirements) return the full amount tendered herewith less any bank charges to the Applicant's account of record specified above and that unless rejected this application is irrevocable.

The Applicant agrees that the terms and conditions contained in this form shall apply to all future subscriptions made by the Applicant and all the representations and warranties which the Applicant made in this form shall apply to all future subscriptions made by the Applicant, unless the Applicant notifies the Fund to the contrary at the time of any such subscription.

The Applicant is aware of the limited provisions for transferability and redemptions from the Fund and has read the relevant sections of the Prospectus, M&A and KIID. The Applicant understands that its ability to redeem Shares may be limited and can afford to hold the Shares for an indefinite period of time. The Applicant acknowledges that distributions including, without limitation, the proceeds of redemptions, may be paid in cash or, subject to the provisions of the Prospectus and KIID, in specie.

Anti Money Laundering and Investor Eligibility

The Applicant hereby acknowledges, confirms and represents that in subscribing for Shares the Applicant has in place, and shall maintain, policies and procedures reasonably designed to promote compliance with anti-money laundering (including countering the financing of terror and sanctions) requirements by not becoming involved in: (i) concealing or disguising any property which is, or which directly or indirectly represents, the proceeds of a criminal activity; or (ii) converting or transferring any property which is, or which directly or indirectly represents, the proceeds of criminal activity for the purpose of avoiding prosecution for an offence. The Applicant hereby acknowledges, confirms and represents that, having taken all steps and precautions required in accordance with laws and regulations applicable to it, it does not know or reasonably suspect that any of the subscription monies forwarded by the Applicant for Shares is, or directly or indirectly represents, another person's proceeds of a criminal activity and the Indemnified Parties shall be held harmless and indemnified against any direct penalty or loss (but excluding any incidental or consequential loss, loss of profits, and any losses resulting from any Indemnified Party's own negligence, fraud or wilful misconduct) arising as a result of the foregoing representations and undertaking being shown to be untrue or incorrect in any way.

The Applicant acknowledges that in order to assist with compliance with relevant anti-money laundering (including countering the financing of terror and sanctions) laws applicable within their respective jurisdictions the Distributor, the Administrator, the Manager and the Fund (as the case may be) where required by such laws may reasonably request further verification of the Applicant's identity, source of funds and/or source of wealth before the application can be processed and the Distributor, the Administrator, the Manager and the Fund shall be held harmless and indemnified against any direct loss (but excluding any incidental or consequential loss, loss of profits, and any losses resulting from any such party's own negligence, fraud or wilful misconduct) arising as a result of a failure to process the application if such information as has been reasonably requested by any such parties has not been provided by the Applicant.

The Applicant acknowledges that if, following the Applicant's investment in the Shares, the Fund, the Directors, the Investment Manager, the Sub-Investment Manager, the Manager, the Administrator, the Depositary or the Distributor reasonably believes that the Applicant has breached its representations and covenants hereunder as to the Applicant's identity and the source of the Applicant's subscription proceeds, the Fund may be obliged to freeze the Applicant's dealings with its Shares, including by refusing additional subscriptions for Shares by the Applicant or any redemption requests by the Applicant and/or segregate the assets represented by the Applicant's Shares in accordance with applicable regulations, or mandatory redeem the Applicant's Shares, and the Applicant will have no claim whatsoever against the Fund, the Directors, the Investment Manager, the Sub-Investment Manager, the Manager, the Administrator, the Depositary or the Distributor for any form of losses or other damages incurred by the Applicant as a result of any of these actions. The Applicant also acknowledges that the Fund or the Administrator may be required to report such actions and to disclose the Applicant's identity to regulatory bodies.

The Applicant hereby indemnifies and holds harmless each of the Indemnified Parties from any claims, demands, proceedings, liabilities, damages, losses, costs and expenses directly suffered or incurred by such Indemnified Party (but excluding any incidental or consequential loss, loss of profits, and any losses resulting from any Indemnified Party's own negligence, fraud or wilful misconduct) arising in circumstances (i) where the Applicant becomes aware that it is holding Shares in contravention of the Prospectus and KIID, the M&A or any of the provisions set forth herein or in any other documents delivered by the Applicant to the Fund and fails to transfer its Shares or deliver them for redemption pursuant to the Prospectus and KIID, the M&A or the provisions set forth herein and/or fails to make the appropriate notification to the Fund; and (ii) in consideration of the Fund processing this form and making allotment of Shares, where the Applicant fails to pay the required subscription monies in respect of this application for Shares within the time required by the Fund and set out in the Prospectus and KIID.

U.S. Persons

The Applicant:

- (i) covenants that it will not resell, reoffer or transfer any Shares or any interest therein, except with the consent of the Fund, to a U.S. Person (as defined in the Prospectus);
- (ii) acknowledges that reoffers, resales or any transfer of the Shares may be made only in compliance with applicable securities laws and only with the prior authorisation of the Fund;
- (iii) acknowledges that the Fund may, in its discretion and, in some cases, must decline to register a transfer of Shares; and
- (iv) understands that a transfer of Shares may only be effected on the books of the Fund and acknowledges that the Shares shall be transferable only to investors who are eligible investors as described in the Prospectus and KIID. The Applicant understands and acknowledge that the Fund may compulsorily redeem all or any portion of its Shares as described in the Prospectus and KIID.

10. Representations and consents (continued)

The Applicant is not, nor is acting on behalf of, a person or entity to whom offers or sales of shares in the Fund may not be made. The Applicant is not a U.S. Person nor acquiring shares on behalf of, or for the benefit of a U.S. Person, nor intending to transfer any Shares that may be purchased by the Applicant to any person who is a U.S. Person. The Applicant represents that neither the Applicant nor anyone on the Applicant's behalf has been solicited to purchase Shares while present in the United States, its territories or possessions nor have the funds been utilised for such purchase been obtained from a U.S. Person.

Electronic Communication

The Applicant understands and agrees that the Prospectus, KIID(s), annual accounts and other fund documentation may be provided by way of electronic delivery and that a paper copy will be provided free of charge upon request. The Applicant understands that electronic delivery includes email delivery to his contact email address set out herein or as otherwise agreed with the Administrator from time to time and/or electronically making available such documentation or information on www.avivainvestors.com, or such other web-site address as may be notified to the Applicant from time to time. The Applicant acknowledges that updated versions of the Prospectus and KIID(s) and other fund documentation will be made available on the web-site www.avivainvestors.com.

11. Declaration of residence outside Ireland

(This section must be completed and signed)

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. Terms used in this declaration are defined in the Prospectus and KIID.

Please tick which section is applicable and sign below:

☐ **Declaration on own Behalf**

I/We* declare that I am/we are* applying for the Shares on my own behalf/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 the Republic of Ireland.

Should I/we/the company* become "resident" in the Republic of Ireland, I/we/the company* will so inform you in writing, accordingly.

*** Delete as appropriate**

Name and Address of Applicant:

Signature of Applicant or Authorised Signatory (Declarant)

Print Name:

Capacity of Authorised Signatory (if applicable)

Date: (dd/mm/yyyy):

Signature 1	Signature 2

☐ **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 the Republic of Ireland.

I/We* also declare that:

unless I/we* specifically notify you to the contrary at the time of application, all applications 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* hold Shares, becomes resident in the Republic of Ireland.

*** 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 (including 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.

12. ERISA Status

Are you (or are you acting on behalf of) a Benefit Plan¹, governmental plan, church plan, or similar plan, established and administered in accordance with the laws of the United States or any state?

Yes ☐ No ☐

If 'Yes', further documentation may be required and/or you may not be eligible to invest.

¹ 'Benefit Plan' means 'benefit plan investor' within the meaning of Section 3(42) of ERISA, which includes: (a) any employee benefit plan (as defined in Section 3(3) of ERISA) that is subject to the fiduciary responsibility provisions of Title I of ERISA; (b) any plan subject to Section 4975 of the Code (which includes a trust described in Code Section 401(a) which forms a part of a plan that is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Sections 408(a) or 408A, an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d), a health savings account described in Code Section 223(d) and an education savings account described in Code Section 530); and (c) any entity (including a corporation, partnership, limited liability company, trust or association) whose assets are treated as 'plan assets' for purposes of ERISA by reason of a plan's investment in the entity (generally because 25% or more of a class of equity interests in the entity is owned by such plans, excluding in such 25% calculation any interests in the entity held by a person (other than a Benefit Plan) with discretionary authority or control over, or rendering investment advice regarding, the assets of the investor or held by any affiliate of such person). Any entity described in clause (c) above will generally be considered to include plan assets only to the extent of the percentage of the equity interests in the entity held by plans described in clauses (a) and (b) above. Benefit Plans also include that portion of any insurance company's general account assets that are considered 'plan assets' under Section 401(c) of ERISA and (except to the extent the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.

13.Exempt Irish investors only

If the Applicant is resident in Ireland for tax purposes but is not a Taxable Irish Person, the Applicant should complete this section.

Declaration Referred to in Section 739D(6) Taxes Consolidation Act 1997 ("TCA 1997").

The Applicant declares that the information contained in this declaration is true and correct. This application is made on behalf of the Applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D(6) of the TCA 1997 being a person who is:

Please tick which section is applicable.

- ☐ A pension scheme;
- ☐ A company carrying on life business within the meaning of Section 706 TCA 1997;
- ☐ An investment undertaking;
- ☐ An investment limited partnership;
- ☐ A special investment scheme;
- ☐ A unit trust to which section 731(5)(a) TCA 1997 applies;
- ☐ A charity being a person referred to in section 739D(6)(f)(i) TCA 1997 (a "Charity");
- ☐ A qualifying management company;
- ☐ Entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA 1997, (see further requirements for Qualifying Fund Manager below)
- ☐ PRSA Administrator;
- ☐ A credit union within the meaning of section 2 of the Credit Union Act 1997;

Additional requirements where the declaration is completed on behalf of a Charity.

The Applicant also declares that at the time of making this declaration, the Shares in respect of which this declaration is made are held for charitable purposes only and form part of the assets of a body of persons or trust treated by the Revenue Commissioners as a body or trust established for charitable purposes only, or are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.

The Applicant undertakes that, in the event that the person referred to in paragraph (7)(d) of Schedule 2B TCA 1997 ceases to be a person referred to in section 739D(6)(f)(i) TCA 1997, the Applicant will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

Additional requirements where the declaration is completed on behalf of a Qualifying Fund Manager / PRSA Administrator.

The Applicant also declares that at the time this declaration is made, the Shares in respect of which this declaration is made are assets of an approved retirement fund/ an approved minimum retirement fund/a PRSA* and are managed by the declarant for the individual named below who is beneficially entitled to the Shares.

The Applicant undertakes that, if the Shares cease to be assets of the approved retirement fund/the approved minimum retirement fund/the PRSA*, including a case where the Shares are transferred to another such fund or account, the Applicant will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Please delete as appropriate*

Additional requirements where the declaration is completed by an intermediary.

I/we* also declare that I am/we are* applying for Shares on behalf of persons who

- to the best of my/our* knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made, and
- is a person referred to in section 739D(6) TCA 1997.

I/we* further declare that

- Unless I/we* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us* from the date of this application will be made on behalf of persons referred to in section 739D TCA 1997, and
- I/we* will inform you in writing if I/we* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

**Please delete as appropriate*

Name of Applicant:

Irish tax reference number of application:

Authorised signatory:

Title:Mr/Ms. Etc.:

Capacity in which declaration is made:

Date:

This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.

(1) Tax reference number in relation to a person, has the meaning assigned to it by Section 885 TCA 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by the Revenue Commissioners. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the Shares.

(2) In the case of (i) an exempt pension scheme, the administrator must sign the declaration; (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration; (iii) a trust scheme, the trustees must sign the declaration; (iv) a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of section 207 and 208 TCA 1997; (v) an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA Administrator; (vi) an intermediary, the declaration must be signed by the intermediary; (vii) a company, the declaration must be signed by the company secretary or other authorised officer; (viii) a unit trust, it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

14. Return of values (Investment Undertakings) Regulations 2013 (Irish resident/Ordinarily resident applicants)

The Fund must collect additional information in order to satisfy Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013). **Therefore any individual, company or any unincorporated body of persons which are an Irish resident (other than an exempted Irish resident in accordance with Section 739D(6) of the Taxes Consolidation Act 1997 (as amended) or a non-Irish resident that has provided the appropriate declaration of residence outside Ireland) or ordinarily Irish resident must provide the following additional information and documentation:**

Tax Identification Number (TIN) / PPS Number:

Any one of the following additional documents are required to verify the tax identification number or PPS Number (either a copy or the original is sufficient)

P60, P45, P21 Balancing Statement, Payslip (where employer is identified by name or tax number), Drug Payment Scheme Card, European Health Insurance Card, Tax Assessment, Tax Return Form, PAYE Notice of Tax Credits, Child Benefit Award Letter /Book, Pension Book, Social Services Card, Public Services Card

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain your name, address and tax reference number will also be acceptable.

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Fund in accordance with the Data Protection Acts 1988 to 2003, and with effect from 25 May 2018, the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and the Council of 27 April 2016), including any amendments thereto ("Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.

15. Entity Self-Certification for FATCA and CRS

Investors that are individuals should not complete this section of the application form but will need to complete a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form. This can be provided on request to the Administrator.

Instructions for completion and Data Protection notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

If you have any questions about this form or defining the investor's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to Irish Revenue website at: <http://www.revenue.ie/en/business/aeoi/index.html> or the following link: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

*If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.
(Mandatory fields are marked with an *)*

Section 1: Investor Identification

Investor Name*:	<input type="text"/>			(the "Entity")
Country of Incorporation or Organisation:	<input type="text"/>			
Current Registered Address*:	Number:	Street:		
	City, town, State, Province or County:			
	Postal/ZIP Code:	Country:		
Mailing address (if different from above):	Number:	Street:		
	City, town, State, Province or County:			
	Postal/ZIP Code:	Country:		

Section 2: FATCA Declaration:

Please tick either (a), (b) or (c) below and complete as appropriate.

a) The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows
(please also complete Sections 4 and 5):

U.S. TIN: ☐

OR

b) The Entity is not a Specified U.S. Person (please also complete Sections 3, 4 and 5)

OR

c) The Entity is a U.S. Person but not a Specified U.S. Person (please also complete Sections 4 and 5)

Indicate exemption:

Section 3: Entity's FATCA Classification*

(the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5):

3.1 Financial Institutions under FATCA :

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

15. Entity Self-Certification for FATCA and CRS (continued)

I. Irish Financial Institution or a Partner Jurisdiction Financial Institution ☐

II. Registered Deemed Compliant Foreign Financial Institution ☐

III. Participating Foreign Financial Institution ☐

3.2 Please provide the Entity's Global Intermediary Identification number (GIIN): _____

3.3 If the Entity is a Financial Institution but unable to provide a GIIN, please tick one of the below reasons:

I. The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN

Please provide the sponsor's name and sponsor's GIIN:

Sponsor's Name: _____ Sponsor's GIIN: _____ ☐

NOTE: This option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.

II. The Entity is an Exempt Beneficial Owner,

Please tick and confirm the category of Exempt Beneficial Owner;

I. Government Entity ☐

II. International Organisation ☐

III. Foreign Central Bank ☐

IV. Exempt Retirement Fund ☐

V. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners. ☐

III. The Entity is a Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)

Indicate exemption: _____ ☐

IV. The Entity is a Non-Participating Foreign Financial Institution ☐

V. The Entity is a Excepted Foreign Financial Institution ☐

Indicate exemption: _____

VI. The Entity is a Trustee Documented Trust.

Please provide your Trustee's name and GIIN:

Trustee's Name: _____ Trustee's GIIN: _____ ☐

3.4 Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the below categories

I. Active Non-Financial Foreign Entity ☐

II. Passive Non-Financial Foreign Entity
(Please tick the box that applies)

I. Passive (NFFE) with no Controlling Persons that are specified U.S. Persons. ☐

II. Passive (NFFE) with Controlling Persons that are specified U.S. Persons.

(If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s)) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2) ☐

III. Excepted Non-Financial Foreign Entity ☐

VI. Direct Reporting Non-Financial Foreign Entity ☐

Please provide your GIIN: _____

Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency (Note that Entities may have more than one country of Tax Residence)*:

Please indicate the Entity's country of tax residence for CRS purposes (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN's. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>.

If the Entity is not tax resident in any jurisdiction (e.g. because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

NOTE: Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

a) You are tax resident in a Jurisdiction that does not issue a TIN **Or**

b) You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

15. Entity Self-Certification for FATCA and CRS (continued)

If a TIN is unavailable, please tick the appropriate box as follows;

☐

Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

☐

Reason B - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)

☐

Reason C - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

Section 5: Entity's CRS Classification*

The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3:

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard>

5.1 Financial Institutions under CRS:

If the Entity is a Financial Institution, **Resident in either a Participating or Non-Participating CRS Jurisdiction** please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

NOTE: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

I. A Reporting Financial Institution resident in a participating CRS jurisdiction

☐

II. A Financial Institution Resident in a Non-Participating Jurisdiction

☐

(Please also tick the box that applies)

☐ **An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution** (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in **section 6 below** and complete a separate individual self-certification forms for each of your Controlling Persons)

☐ **An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution**

☐ **Other Financial Institution**, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company

III. Non-Reporting Financial Institution under CRS.

☐

Specify the type of Non-Reporting Financial Institution below:

☐ Governmental Entity

☐ International Organization

☐ Central Bank

☐ Broad Participation Retirement Fund

☐ Narrow Participation Retirement Fund

☐ Pension Fund of a Governmental Entity, International Organization, or Central Bank

☐ Exempt Collective Investment Vehicle

☐ Trust whose trustee reports all required information with respect to all CRS Reportable Accounts

☐ Qualified Credit Card Issuer

☐ Other Entity defined under the domestic law as low risk of being used to evade tax.

Specify the type provided in the domestic law:

5.2 Non Financial Institutions under CRS:

If the Entity is a *not defined as a Financial Institution under CRS* then please tick one of the below categories confirming if you are an Active NFE or Passive NFE

I. *Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market*

☐

Please provide the name of the established securities market on which the corporation is regularly traded: _____

II. *Active NFE – if you are a Related Entity of a regularly traded corporation.*

☐

Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____

III. *Active Non-Financial Entity – a Government Entity or Central Bank*

☐

Please provide the name of the established securities market on which the corporation is regularly traded: _____

IV. *Active Non-Financial Entity – an International Organisation*

☐

15. Entity Self-Certification for FATCA and CRS (continued)

V. Active Non-Financial Entity – other than (I)-(IV) (for example a start-up NFE or a non-profit NFE) ☐

VI. Passive Non-Financial Entity (If this box is ticked, please complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS form" as indicated in section 6.2 for each Controlling Person(s) ☐

Section 6: Controlling Persons:

NB: Please note that each Controlling Person must complete a separate Individual Self-Certification form. If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.

For further information on identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard>

6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate "Individual (including Controlling Persons) FATCA and CRS Self-Certification" form for each Controlling person as per 6.2 below:

Indicate the name of all Controlling Person(s) of the Account Holder:

1	
2	
3	

Note: In case of a trust, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.

6.2 Complete a separate "Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form for each Controlling Person listed in Section 6.1.

Section 7: Declarations and undertakings

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/We acknowledge and consent to the fact that the information contained in this form and information regarding the Applicant may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Applicant may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I/We on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

	Signature 1	Signature 2																
Authorised Signature:	<input type="text"/>	<input type="text"/>																
Print Name:	<input type="text"/>	<input type="text"/>																
Capacity in which declaration is made:	<input type="text"/>	<input type="text"/>																
Date: (dd/mm/yyyy):	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>C</td><td>C</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	C	C	Y	Y	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>C</td><td>C</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	C	C	Y	Y
D	D	M	M	C	C	Y	Y											
D	D	M	M	C	C	Y	Y											

Data Protection - Customer Information Notice:

The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the automatic exchange of information (AEOI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

The standard requires that Financial Institutions in participating jurisdictions gather certain information from account holders (and, in particular situations, also collect information in relation to relevant Controlling Persons of such account holders).

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

Information that may be reported includes name, address, date of birth, place of birth, account balance, any payments including redemption and dividend/ interest payments, Tax Residency(ies) and TIN(s). Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/> and on the Irish Revenue website - <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

Appendix I

Declaration of Beneficial Ownership

Please tick one of the below boxes and complete the relevant section:

- ☐ We confirm there is a natural person(s) who is a beneficial owner of the investor. (Please complete section 1 below of this declaration).
- ☐ We confirm there is no natural person(s) who is a beneficial owner of the investor. (Please complete section 2 of this declaration).

Section 1: Natural person(s) who is a beneficial owner of the investor

Beneficial Owner 1 (please complete in block capitals)

Full Name	Mr / Mrs / Miss / Ms	Forename(s)		Surname	
Identification Number		Occupation		Date of Birth	<div style="display: flex; justify-content: space-between;"> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>C</div> <div>C</div> <div>Y</div> <div>Y</div> </div>
Place of Birth		Nationality		Percentage %	
Registered Address	(PO or C/O will not be accepted)				
City, Town, State, Province or County		Postal/ZIP Code		Country	

Beneficial Owner 2 (please complete in block capitals)

Full Name	Mr / Mrs / Miss / Ms	Forename(s)		Surname	
Identification Number		Occupation		Date of Birth	<div style="display: flex; justify-content: space-between;"> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>C</div> <div>C</div> <div>Y</div> <div>Y</div> </div>
Place of Birth		Nationality		Percentage %	
Registered Address	(PO or C/O will not be accepted)				
City, Town, State, Province or County		Postal/ZIP Code		Country	

Beneficial Owner 3 (please complete in block capitals)

Full Name	Mr / Mrs / Miss / Ms	Forename(s)		Surname	
Identification Number		Occupation		Date of Birth	<div style="display: flex; justify-content: space-between;"> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>C</div> <div>C</div> <div>Y</div> <div>Y</div> </div>
Place of Birth		Nationality		Percentage %	
Registered Address	(PO or C/O will not be accepted)				
City, Town, State, Province or County		Postal/ZIP Code		Country	

If needed, please add additional natural person(s) who are beneficial owners on a separate sheet

Section 2: No natural person(s) who is a beneficial ownerⁱ of the investor

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior managing official details (please complete in block capitals)

Full Name	<input type="text" value="Mr / Mrs / Miss / Ms"/>	Forename(s)	<input type="text"/>	Surname	<input type="text"/>
Date of Birth	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	Place of Birth	<input type="text"/>	Nationality	<input type="text"/>
Registered Address	<input type="text" value="(PO or C/O will not be accepted)"/>			Title	<input type="text"/>
City, Town, State, Province or County	<input type="text"/>	Postal/ZIP Code	<input type="text"/>	Country	<input type="text"/>

If needed, please add additional senior managing official(s) on a separate sheet

Further information which may be required in order to verify the information provided above will be requested as required.

Authorised Signature

ⁱ Definition of a Beneficial Owner:

Article 3 of AMLD4 defines a beneficial owner as meaning any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) in the case of trusts:

(i) the settlor; (ii) the trustee(s); (iii) the protector, if any; (iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (v) any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means;

(c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in point (b);

Key Risks

The value of an investment and any income from it can go down as well as up. Investors may not get back the original amount invested.

The Fund invests in money market instruments such as short term bank debt the market prices/value of which can rise as well as fall on a daily basis. Their values are affected by changes in interest rates, inflation and any decline in creditworthiness of the issuer.

This is not a guaranteed investment, an investment in a Money Market Fund is different from an investment in deposits and can fluctuate in price meaning you may not get back the original amount you invested. This investment does not rely on external support for guaranteeing liquidity or stabilising the NAV per unit or share. The risk of loss of the principal is to be borne by the investor.

Important Information

THIS IS A MARKETING COMMUNICATION

Except where stated as otherwise, the source of all information is Aviva Investors Global Services Limited ("Aviva Investors"). Unless stated otherwise any opinions expressed are those of Aviva Investors. They should not be viewed as indicating any guarantee of return from an investment managed by Aviva Investors nor as advice of any nature. The value of an investment and any income from it may go down as well as up and the investor may not get back the original amount invested. Past performance is not a guide to the future. The content of this presentation does not purport to be representational or provide warranties above and beyond those contained in the Prospectus and subscription documentation of the Fund. The Prospectus and the subscription document contain the full terms, conditions, representations and warranties in respect of the Fund. The underlying holdings of the fund should be considered in order to establish an appropriate minimum holding period. The content of this presentation does not purport to be representational or provide warranties above and beyond those contained in the legal documentation and subscription documentation of the Fund. The legal documentation and the subscription documents contain the full terms, conditions, representations and warranties in respect of the Fund. Nothing in this presentation is intended to or should be construed as advice or recommendations of any nature. This document is not a recommendation to sell or purchase any investment. It does not form part of any contract for the sale or purchase of any investment. Changes in exchange rates between currencies or the conversion from one currency to another may also cause the value of the investments to diminish or increase. The value of Shares expressed in a currency other than the Base Currency will be subject to exchange rate risk in relation to the Base Currency. You may switch between funds in the Aviva Investors Liquidity Funds p.l.c. Details on switching are provided in the Share Dealings section of the Fund's prospectus. The sub-fund is subject to the tax laws and regulations of Ireland. Depending on your own country of residence, this might have an impact on your investment. This document should not be taken as a recommendation or offer by anyone in any jurisdiction in which such an offer is not authorised or to any person to whom it is unlawful to make such an offer or solicitation. The Prospectus and Key Investor information Document (KIID) are available at www.avivainvestors.com

Where relevant, information on our approach to the sustainability aspects of the fund and the Sustainable Finance disclosure regulation (SFDR) including policies and procedures can be found on the following link: <https://www.avivainvestors.com/en-gb/capabilities/sustainable-finance-disclosure-regulation/>

In Europe this document is issued by Aviva Investors Luxembourg S.A. Registered Office: 2 rue du Fort Bourbon, 1st Floor, 1249 Luxembourg. Supervised by Commission de Surveillance du Secteur Financier. An Aviva company. In the UK Issued by Aviva Investors Global Services Limited. Registered in England No. 1151805. Registered Office: 80 Fenchurch Street, London EC3M 4AE. Authorised and regulated by the Financial Conduct Authority. Firm Reference No. 119178.

Issued by Aviva Investors Liquidity Funds plc, with registered office at 25/28 North Wall Quay, Dublin 1 and incorporated in Ireland as an umbrella type open-ended investment company with variable capital and with segregated liability between its sub-funds, and authorised by the Central Bank of Ireland pursuant to the UCITS Regulations.