

APPLICATION / REDEMPTION FORM

in respect of the offer of Investor Shares in



Luxury Brands Fund
a sub-fund of

PROVENANCE SICAV plc.
(the "Company")

A self-managed open-ended collective investment scheme organised as a multi-fund public limited liability company with variable share capital registered under the laws of Malta and licensed by the Malta Financial Services Authority in terms of the Investment Services Act (Chapter 370, Laws of Malta). The Company qualifies as a self-managed 'Maltese UCITS' in terms of the Investment Services Act (Marketing of UCITS) Regulations (S.L. 370.18, Laws of Malta)

This Application / Redemption Form may not be distributed unless accompanied by, and is to be read in conjunction with, the Prospectus, Offering Supplement and KIID pertaining to Provenance SICAV plc re Luxury Brands Fund.

Important Notice

Terms used in this document shall, unless otherwise defined or the context otherwise requires, have the same meaning as those defined in the above-mentioned Prospectus, Offering Supplement or KIID.

Should you require any assistance in completing this form, please contact the Fund Administrator:

Trident fund services (Malta) Ltd,
Second Floor, Orange Point
Building, Dun Karm street,
Birkirkara by-Pass, Birkirkara, BKR
9037, Malta

Tel: +356 23715500

Fax: +356 21442534

Email: provenance@tridenttrust.com

Web: <https://tridenttrust.com/locations/malta/>

Application Process

For **initial subscriptions**, please complete and return the following documents by email/fax* or mail to the Administrator;

1. Signed and completed Application Form (please ensure you sign page 14)
2. Signed and completed FATCA Declaration Form (please ensure you complete and sign Section 7)
3. Signed and completed CRS Self Certification Form (please ensure you complete and sign Section 8)
4. Signed and completed PEP Declaration Form (please ensure you complete and sign Section 10)
5. Due Diligence Documents (please ensure documents are correctly certified in accordance with the requirements detailed on Section 5)
6. Please initial each page of the application form.

*If you email or fax the Application Documents, please mail the originals (clearly marked "Duplicate") to the Administrator to arrive within seven business days of the date of the email/fax. Contract notes will only be issued on receipt of original documents.

For **subsequent and additional subscriptions** please complete and return **Section 12 - Additional Subscription Form**.

Application Cut-Off Time

Please note that Application Documents and related subscription monies should be received by the Administrator from 11.00am (CET) on 20 April 2015 to 17.00pm (CET) on the closing date during the Initial Offering Period and for subscriptions after the Initial Offering Period, monies and Application Documents should be received by the Administrator by 17.00pm (CET) one Business Day immediately preceding the relevant Subscription Day, with Subscription Day being the day following the Valuation Day and/or such other Business Day as the Directors may from time to time determine.

Please Note: After the end of the Initial Offering Period, applications will be dealt on every dealing day as stated in the Offering Supplement.

Redemption Process

Please complete and return the signed and completed Section 13 - Redemption Instruction by email/fax* or mail to the Administrator;

*If you email or fax the Redemption Instruction, please mail the originals (clearly marked "Duplicate") to the Administrator to arrive within four business days of the date of the email/fax. Note, redemption proceeds will only be paid when the Redemption Instruction is received by the Administrator in original form.

Redemption Cut-Off Time

Redemption Instructions should be received by the Administrator no later than 17.00pm (CET), one Business Day immediately preceding the relevant Redemption Day, with Redemption Day being the day following the Valuation Day and/or such other Business Day as the Directors may from time to time determine. If a redemption request is received after the above indicated time and date, and subject to the overall right of the Company to defer all or part of the redemptions, the redemption request shall, if valid be processed and the relevant Fund Shares will be redeemed on the next following Redemption Day.

Section 1 - To be completed by Individual Investors**All Individual Investors to complete this page in BLOCK CAPITALS**

	Shares will be registered exactly in accordance with the below Registered Name
REGISTERED NAME	

REGISTRATION DETAILS	FIRST APPLICANT	JOINT APPLICANT (If applicable)
TITLE (MR/MRS/MISS)		
SURNAME		
FORENAMES		
ANY PREVIOUS NAMES		
DATE AND PLACE OF BIRTH		
NATIONALITY		
CURRENT RESIDENTIAL ADDRESS (PO Box only address is not enough)		
RESIDENTIAL COUNTRY		
RESIDENTIAL POST CODE		
SOURCE OF FUNDS (please state the economic activity that generated the wealth rather than one-word answers (inheritance) or remitting bank name)		
OCCUPATION		
CORRESPONDENCE DETAILS		
CORRESPONDENCE ADDRESS (if different to residential address)		
CORRESPONDENCE COUNTRY		
CORRESPONDENCE POST CODE		
DAYTIME TEL No		
FAX no.		
EMAIL		

Please note that all correspondence will be sent to the first applicant unless-specific alternative instructions are received.
If there are more than two applicants, please re print this page and enclose with the Application Documents.

Section 2 - To be completed by Entities (Corporates/Trusts & Partnerships)**All Entities to complete this page in BLOCK CAPITALS**

Shares will be registered exactly in accordance with the Registered Name and account designation given below.

REGISTERED NAME	
ACCOUNT DESIGNATION (IF APPLICABLE)	The Account Designation is used in respect to client account/bond or policy number

NAME OF ENTITY	
----------------	--

	REGISTERED OFFICE ADDRESS	CORRESPONDENCE ADDRESS (IF DIFFERENT FROM THE REGISTERED ADDRESS)
ADDRESS (PO Box only address is insufficient)		
COUNTRY		
POST CODE		

COUNTRY OF REGISTRATION	
REGISTRATION NUMBER	
DATE OF REGISTRATION	
STATEMENT OF ENTITY'S ACTIVITY	

	PRIMARY CONTACT DETAILS	SECONDARY CONTACT DETAILS
NAME		
TELNO		
FAX NO		
EMAIL		

Section 3 - To be completed by Trusts**All Trusts to complete this page in BLOCK CAPITALS**

DETAILS OF TRUST	
NAME, DATE OF ESTABLISHMENT AND JURISDICTION OF TRUST	
SOURCE OF TRUST FUNDS	

DETAILS OF SETTLOR AND PROTECTOR		
	SETTLOR	PROTECTOR (IF APPLICABLE)
FULL NAME		
NATIONALITY		
DATE AND PLACE OF BIRTH		
CURRENT RESIDENTIAL ADDRESS (PO Box only address is insufficient)		
POST CODE		

DETAILS OF TRUSTEES		
	TRUSTEE	TRUSTEE
FULL NAME OF TRUSTEE		
NATIONALITY		
DATE AND PLACE OF BIRTH		
CURRENT RESIDENTIAL ADDRESS (PO Box only address is insufficient)		
POST CODE		

DETAILS OF BENEFICIARIES		
	BENEFICIARY	BENEFICIARY
FULL NAME OF BENEFICIARY		
NATIONALITY		
DATE AND PLACE OF BIRTH		
CURRENT RESIDENTIAL ADDRESS (PO Box only address is insufficient)		
POST CODE		

If there is not enough space on this form please attach additional documents to identify all the Trust parties

Section 4 - Payments & Authorised Signatories

I/We the undersigned having received and read a copy of the Fund Documents hereby apply to subscribe for Investor Shares in **Luxury Brands Fund**, a sub-fund of Provenance SICAV plc.

Please refer to the Offering Supplement for cut off times.

SHARE CLASS	Amount (please specify the amount in the relevant class and currency box)		
Retail investor shares	GBP	EUR	USD
ISIN Number: Bloomberg ticket:	MT7000012878 PRLUXRG MV EQUITY	MT7000012886 PRLUXRE MV EQUITY	MT7000012894 PRLUXRU MV EQUITY
Retail investor shares	GBP	EUR	USD
ISIN Number: Bloomberg ticket:	MT7000012910 PRLUXRG MV EQUITY	MT7000012928 PRLUXRE MV EQUITY	MT7000012936 PRLUXRU MV EQUITY

Initial and subsequent subscriptions must be a minimum of 1,000 in the relevant currency.

INVESTORS BANK ACCOUNT DETAILS

Please note that additional information will be requested if monies are being transferred from an account held other than in the name of the Applicant.

BANK NAME	
SORT I SWIFT CODE	
BANK ADDRESS	
ACCOUNT NAME	
IBAN I ACCOUNT NUMBER	

SIGNING INSTRUCTIONS Tick ✓

- All Authorised Signatories to Sign
 Any Authorised Signatories to Sign
 To Sign in accordance with the Attached Authorised Signatory List

AUTHORISED SIGNATORIES	The following individuals are authorised to give instructions on the account in accordance with the signing instructions
Name (in BLOCK CAPITALS)	Signature
1.	
2.	

Section 4 – Payments & Authorised Signatories (continued)**Routing instructions for the fund subscription account for retail investor shares.****PLEASE ENSURE MONEY IS TRANSFERRED IN THE CORRECT CURRENCY AND ACCOUNT FOR THE RELEVANT SHARE CLASS****PLEASE ENSURE MONEY IS TRANSFERRED USING MT103 METHOD ONLY.****INSTITUTIONAL INVESTOR SHARES - GBP**

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund - CLT MT93 SBMT 5550 5000 0080 0002 6327 080
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Correspondent Bank:	NWBKGB2LXXX - National Westminster Bank
	Reference:	<i>Name of registered shareholder</i>

INSTITUTIONAL INVESTOR SHARES - EUR

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund - CLT MT22 SBMT 5550 5000 0080 0002 6327 000
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Correspondent Bank:	RZBAATWWXXX - Raiffeisen Bank International
	Reference:	<i>Name of registered shareholder</i>

INSTITUTIONAL INVESTOR SHARES - USD

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund – CLT MT09 SBMT 5550 5000 0080 0002 6327 040
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Intermediary Bank of:	RZBAATTWWXXX – Raiffeisen Bank International
	Correspondent Bank:	SCBLUS33 – Standard Chartered Bank, NY
	Reference:	<i>Name of registered shareholder</i>

Section 4 – Payments & Authorised Signatories (continued)

PLEASE ENSURE MONEY IS TRANSFERRED IN THE CORRECT CURRENCY AND ACCOUNT FOR THE RELEVANT SHARE CLASS

PLEASE ENSURE MONEY IS TRANSFERRED USING MT103 METHOD ONLY.

RETAIL INVESTOR SHARES - GBP

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund - CLT MT66 SBMT 5550 5000 0080 0002 6327 081
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Correspondent Bank:	NWBKGB2LXXX - National Westminster Bank
	Reference:	<i>Name of registered shareholder</i>

RETAIL INVESTOR SHARES - EUR

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund - CLT MT92 SBMT 5550 5000 0080 0002 6327 001
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Correspondent Bank:	RZBAATWWXXX - Raiffeisen Bank International
	Reference:	<i>Name of registered shareholder</i>

RETAIL INVESTOR SHARES - USD

SWIFT FIELD 59a	Beneficiary/Account Name: IBAN:	Provenance Sicav plc - Luxury Brands Fund – CLT MT79 SBMT 5550 5000 0080 0002 6327 041
SWIFT FIELD 57a	Bank of Beneficiary:	SBMTMTMT - Sparkasse Bank Malta plc
SWIFT FIELD 56a	Intermediary Bank of:	RZBAATTWWXXX – Raiffeisen Bank International
	Correspondent Bank:	SCBLUS33 – Standard Chartered Bank, NY
	Reference:	<i>Name of registered shareholder</i>

Section 5 - Customer Due Diligence Documentation

In order to comply with regulations for the avoidance of money laundering **ALL** applicants must be identified and verified by the Administrator and the Company.

Where due diligence documents have already been supplied to the Administrator please supply;

Fund Name	Registered Name
-----------	-----------------

Alternatively, the identification and verification evidence required is detailed below.

ONE of the following sections will apply and the documents detailed will need to be supplied to the Administrator. Notes at the end of the section should be used when completing this section of the Application Form.

Special consideration needs to be given to the correct certification of the required documents. The Fund Administrator holds the right to ask for further due diligence documents on a case by case basis.

Section 1 – Individual Investors	
<input type="checkbox"/> Certified true copy of Passport ID Card <input type="checkbox"/> Certified true copy of a recent Utility Bill or Bank Statement confirming residential address not older than <u>three</u> months when received by the Administrator. [Mobile phone bills are not deemed acceptable form of verification. Any documentation which is in a language not understood by the subject person should be translated. The translation should be dated, signed and certified by an independent person of proven competence conforming that it is a faithful translation of the original.]	Please note that all individual investors applying jointly must provide the required documentation for each individual.
<input type="checkbox"/> FATCA Declaration and CRS Self Certification - Please refer to Sections 7 and 8	
<input type="checkbox"/> Please confirm source of wealth	

Section 2 – Corporate Investors	
<input type="checkbox"/> Structure chart showing all related parties	
<input type="checkbox"/> Certified true copy of the Certificate of Incorporation (and certificate evidencing change of name, where applicable)	
<input type="checkbox"/> Certified true copy of the Memorandum and Articles of Association	
<input type="checkbox"/> Certified true copy of the Authorised Signatory List <i>[Each Individual on whose instructions or requests we will be expected to act must also produce all the due diligence documents specified for Individual Investors]</i>	
<input type="checkbox"/> List of all Directors and Company Secretary with full name and specimen signatures <i>[Each Individual on the list must also produce all the documents specified for 'Individual Investors']</i>	
<input type="checkbox"/> Please enclose a certified true copy of the Shareholders Register signed by the Director(s) or Company Secretary <i>[Each beneficial owner who directly or indirectly holds 25% or more of the issued share capital must also produce all the documents specified for Individual Investors]</i>	
<input type="checkbox"/> Please enclose a certified true copy of the Shareholders Register signed by the Director(s) or Company Secretary <i>[Each beneficial owner who directly or indirectly holds 25% or more of the issued share capital must also produce all the documents specified for Individual Investors]</i>	
<input type="checkbox"/> Foreign Account Tax Compliance Act ("FATCA") declaration and CRS Self Certification - Please refer to Sections 7 and 8: These declarations need to be filed by all Ultimate Beneficial Owners holding 10% ownership or more. <i>[If necessary, please print multiple copies of such page]</i>	
<input type="checkbox"/> Please confirm source of wealth	

Section 5 - Customer Due Diligence Documentation (continued)

Section 3 – Professional Intermediaries

Under certain circumstances (as detailed in Section 11 - Professional Intermediary Letter) Professional Intermediaries can be treated as a Principal and customer due diligence is required on the Principal rather than on the Intermediary's customers.

Professional Intermediaries must be a financial services business from a recognised jurisdiction **but not a** trust and corporate service provider. This category should be used where the Principal invests the customers' money on a discretionary or advisory capacity, is the sole operator of and retains ultimate effective control over the account.

Certified true copy of Regulators Licence, or regulator's website address where the regulated status can be verified

FATCA Declaration and CRS Self Certification - Please refer to Sections 7 and 8 *[If necessary, please print copies of such page]*

Professional Intermediary Letter (refer to Section 11 for a sample letter)

Official certified copy of the Authorised Signatory List

Section 4 – Trusts, Nominees & Fiduciary clients

Structure chart showing all trust parties

Extract of the Trust deed reflecting the parties to the Trust [i.e. Trustees, Settlor, Principal, Beneficiaries, Protector] and the signatures / seal pages *[Each Trustee/Settlor/Beneficiary/Protector **must** produce all the documents specified for Individual Investors or Corporate Investors]*

Full names and specimen signature on any individual from the Trustees on whose instructions or request we are expected to act *[Each Individual on the list **must** also produce all the documents indicated in the Section 1 'Individual Investors']*

Foreign Account Tax Compliance Act ("FATCA") declaration and CRS Self Certification - Please refer to sections 7 and 8: These declarations need to be filed by all Ultimate Beneficial Owners holding 10% ownership or more. *[If necessary, please print multiple copies of such page]*

Please confirm source of wealth

Section 5 – Listed Company

Evidence that the Company is listed on a recognised Stock Exchange

Full names and specimen signatures of any individuals from the investing company on whose instructions or requests we might be expected to act. *[Each Individual listed **must** also produce all the documents indicated in the 'Individual Investors' section]*

Foreign Account Tax Compliance Act ("FATCA") declaration and CRS Self Certification – Please refer to Sections 7 and 8: These declarations need to be filed by all Ultimate Beneficial Owners holding 10% ownership or more. *[If necessary, please print multiple copies of such page]*

Please confirm source of wealth

Section 6 - Partnership

Structure chart showing all related parties

Certified true copy of the Partnership Certificate/Agreement identifying the General/Limited Partners

Full names and specimen signature on any individual from the Partnership on whose instructions or request we are expected to act *[Each individual **must** also produce all the documents specified for 'individual investors']*

List of all Partners' names with specimen signatures

[Each Individual listed must also produce all the documents indicated in the 'Individual Investors' section. Where partners are not individuals, the applicable legal body or legal arrangement requirements will apply]

Section 5 - Customer Due Diligence Documentation (continued)

Foreign Account Tax Compliance Act ("FATCA") declaration and CRS Self Certification - Please refer to Sections 7 and 8: These declarations need to be filed by all Ultimate Beneficial Owners holding 10% ownership or more. *[If necessary, please print multiple copies of such page]*

Please confirm source of wealth

Certification Requirements (required for the completion of identification of applicants under anti-money laundering regulations)

"PLEASE NOTE that certified copies of documents can only be accepted if they comply with the following; [if they do not comply, we will need to return them to you for re-certification this is likely to resulting a delay in your application]

Certification must be by one of the following ("Certifiers"):

An embassy, consulate or high commission of the country of issue of documentary evidence of identity; a member of the judiciary, a senior civil servant, or a serving police or customs officer; a lawyer or notary public; an actuary; an accountant holding a recognised professional qualification; or a director, officer or manager of a regulated financial services business operating in an "equivalent jurisdiction" to Malta. Please note that countries that fall within the term "equivalent jurisdiction" may vary, from time to time, if you require updated information in this regard, please contact the Administrator.

The Certifier must have seen the original document and photocopy, the Certifier will compare the documents and must write the following words on the photocopy:

For photographic ID "Certified a True Copy of the original document, which I have seen, and that the photograph shown is a true likeness of the person named therein, who I have met."

For other ID "Certified a True Copy of the original document, which I have seen."

The Certifier must sign and record in block capitals his/her full name, the capacity in which he/she is signing and the date of certification and provide contact details in case of any queries.

In some circumstances certified true translations of documents will be required. The Certifier must sign and record in block capitals his/her full name, the capacity in which he/she is signing and the date of translation.

Section 4 – Investor Declarations

I/We confirm that I am/we are 18 years of age or over, aware of the risks involved in investing in the Company, and am/are not acquiring Shares as a nominee for any other person who is not eligible to subscribe nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is not eligible to subscribe.

I/We will not offer, sell or deliver any of such Shares in the Fund directly or indirectly to a U.S. Person.

I/We confirm that I was/we were not in the U.S. at the time any Shares were offered to me/us or when I/we executed this Application Form.

I/We agree to provide these confirmations to the Administrator and the Company at such times as the Administrator/Company may request, and to provide on request such certifications, documents or other evidence as the Administrator/Company may reasonably require substantiating such representations.

I/We agree to notify the Company immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to sell or to tender to the Company for redemption a sufficient number of Shares to allow the confirmation to be made.

I/We having received, understood and considered a copy of the Prospectus of the Company, Offering Supplement and KIID and hereby confirm that this application is based solely on the Prospectus of the Company Offering Supplement and KIID current at the date of this subscription and the material contracts therein referred together (where applicable) with the most recent audited annual report of the Company (the "Offering Documents") and that I/we are not relying on any representations made by placement agents or other third parties.

I/We have read and understand the Offering Documents and have read, understand and hereby give the undertakings and warranties specified in the said Offering Documents those set out in the section entitled "Subscribers' Undertaking & Warranties" in the Prospectus.

The Administrator and the Company are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form by mail or by email/facsimile. If the instructions are given by me/us by email/facsimile, I/we undertake to immediately confirm them in writing and/or send the original by post or courier. I/We hereby agree to indemnify each of the Administrator, the Company, the Investment Manager and their officers, employees and agents and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon email/facsimile instructions. The Administrator and the Company may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I/We acknowledge that due to anti-money laundering requirements the Company/Administrator may require additional documents and information before the application can be processed and the Administrator and Company shall hereby be held harmless and indemnified by the undersigned against any loss arising as a result of a failure to process the application if such information has not been supplied.

I/We acknowledge that the Company may compulsorily redeem my/our Investor Shares in certain circumstances as laid down in the Offering Documents.

I/We, agree to indemnify and hold harmless the Administrator and Company against any loss, liability, cost or expense (including without limitation attorneys' fees, taxes and penalties) which may result directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in the Investor Declaration Form attached herewith or in any other document delivered by the undersigned to the Administrator/Company.

Section 4 – Investor Declarations (continued)

I/We warrant that I/We am/are an Eligible Investor (as defined in the Offering Documents) and that I/We have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in Investor Shares of the Company, and I/We am/are aware of the risk inherent in investing in the Investor Shares.

I/We acknowledge that an investment in the Company involves special risks that could lead to a loss of all or a substantial portion of any investment made.

I/We acknowledge that by subscribing for Investor Shares I/we are agreeing to the processing and transferring of personal data relating to my/our directors, employees, agents, shareholders, beneficial owners or other related individuals ("Connected Persons") for the purposes and in the manner set out in the section entitled "Prevention of Money Laundering and Data Protection" in the Prospectus carried out for any of the reasons given above or in the Prospectus, or for any reason that the Company and/or its data processors deem necessary to comply with legislation in force at the time. I/We confirm that (a) I/we are duly authorised by each Connected Person make this representation on their behalf, (b) where we provide the Company with Personal Data relating to a Connected Person, I/we are duly authorised to provide such information on their behalf to be processed in accordance with the above, and (c) that I/we have brought the section entitled "Prevention of Money Laundering and Data Protection" in the Prospectus to their attention. I/We agree to indemnify the Company in the event of a claim as a result of a breach of the above representations.

General Data Protection Regulation (GDPR) for all investors.

- a) The Investor acknowledges and accepts that the information it provides on behalf of itself or its partners, members, shareholders, managers, directors, officers, employees, agents, representatives and/or any other natural person associated with the Investor in connection with this application for shares in the Sub-Fund or subsequently by whatever means which relates to the Investor (if it is an individual) or a third party individual (Personal Data) will be held and processed by the Company in compliance with the relevant data protection legislation (Data Protection Legislation). A privacy notice setting out how Personal Data will be used, stored, transferred or otherwise processed is attached as Section 7 to this Application Form.
- b) The Investor acknowledges that the Company shall act as data controller for the purposes of the Data Protection Legislation and in such capacity shall oversee any processing of personal data and determine the purposes for which and the manner in which such personal data is to be processed. Such personal data will be held and processed by the Company and/or the Sub-Fund's service providers for the following purposes:
- (i) verifying the identity of the Investor for the purpose of complying with the statutory and regulatory requirements of the Company and any functionary of the Sub-Fund in relation to anti-money laundering in Malta or elsewhere;
 - (ii) evaluating and complying with any anti-money laundering, regulatory and tax requirements in respect of the Company;
 - (iii) carrying out the function of the Company of the Sub-Fund and administering the Investor's investment in the Sub-Fund;
 - (iv) meeting the legal, regulatory, reporting and/or financial obligations of the Company or any functionary of the Sub-Fund in Malta or elsewhere including, without limitation, with respect to compliance with the US Foreign Account Tax Compliance Act and the OECD common reporting standard or any legislation, regulations or guidance enacted in any jurisdiction that seeks to implement a similar tax reporting or withholding tax regime; and
 - (v) any purpose ancillary to the management and operation of the Company and/or any of its investments.
- c) The Investor acknowledges that, where appropriate, it may be necessary for the Company or the Sub-Fund's appointed functionaries to:

Section 4 – Investor Declarations (continued)

- (i) disclose personal data to third party service providers or agents or advisers appointed to provide services for the purpose of operating the Sub-Fund; and/or
- (ii) transfer personal data outside of the European Economic Area to countries or territories which do not offer the same level of protection for the rights and freedoms of investors as Malta.

d) If such a disclosure or transfer of personal data is made, the Company will, where appropriate, ensure that contracts are in place to ensure that any third party service provider or agent to whom the personal data is disclosed or transferred are contractually bound to provide an adequate level of protection in respect of such data.

The Investor acknowledges and accepts responsibility for informing any third party individual to whom the personal data relates of the disclosure and use of such data in accordance with these provisions and agrees to ensure that the privacy notice is brought to their attention.

By signing below:

- (a) I/We confirm that the application is made on that terms and conditions set out in the Application Documents.
- (b) I/We certify the above information to be true and correct and that I/We will supply the required information with my/our application (all applicants to sign).

SIGNATORIES (If signing under Power of Attorney, please provide a certified copy of POA.)

<u>Full Name and Surname /Capacity</u>	<u>Authorised Signature(s)</u>	<u>Date</u>

NOTES:

Note 1: Applications must be received by Trident Fund Services (Malta) Limited, Second Floor, Orange Point, Dun Karm Street, Birkirkara By-Pass, Birkirkara, Malta, BKR 9037
Email: provenance@tridenttrust.com Fax: +356 21442534

Note 2: If this Application Form is signed under a power of attorney, such power of attorney or a duly certified copy thereof must accompany this Application Form.

Note 3: Measures aimed towards prevention of money laundering will require a subscriber to verify their identity. This obligation is absolute but may vary in accordance with the applicable criteria set by the Malta Financial Services Authority from time to time in accordance with the Prevention of Money Laundering Act regarding (1) applications being made via a recognised financial intermediary, or (2) payment made through a banking institution in a country with comparable safeguards against money laundering to those in the Republic of Malta. Shares will not be allocated to any application not including the required anti-money laundering documentation.

Note 4: If this form is not fully completed to the satisfaction of the Administrator and the Company, the Application may not be accepted.

Note 5: If this form is not fully completed to the satisfaction of the Administrator and the Company, the Application may not be accepted.

Section 7A – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Financial Declaration

This declaration needs to be completed by Financial Institutions.

A number of jurisdictions are adopting legislation designed to prevent tax evasion through the use of offshore accounts. In order to comply with international obligations there is a requirement to identify and report to the respective revenue service all persons identified as being subject to such legislation. In order to facilitate this process, please complete the declaration below (please note that it is the investor’s responsibility to determine in which jurisdiction/s he or she is a tax payer and the Company, and the Administrator accept no liability or responsibility for any incorrect declarations).

FINANCIAL INSTITUTIONS

[Please complete and sign as appropriate]

I/We confirm that *[insert name of the financial institution]*: _____
classified under FATCA as:

<input type="checkbox"/> Participating FFI	<input type="checkbox"/> Sponsored FFI	<input type="checkbox"/> Trustee – documented Trust
<input type="checkbox"/> Reporting Model 1 FFI	<input type="checkbox"/> Owner documented FFI	<input type="checkbox"/> Territory FI
<input type="checkbox"/> Reporting Model 2 FFI	<input type="checkbox"/> registered deemed-Complaint FFI	<input type="checkbox"/> Other, please classify below

has a Sponsoring /Global Intermediary Identification Number (GIIN) of _____
and as a Financial Institution (as defined in FATCA) is responsible for the FATCA Reporting for the registered holder identified on Sections 2 to 3 (insert name of registered holder) _____, or

Has NO Global Intermediary Identification Number (GIIN),

If the entity does NOT have a GIIN, please provide the reason why the Entity cannot provide a GIIN for FATCA purposes:

<input type="checkbox"/> a FFI which has applied for a GIIN and has not received it yet	<input type="checkbox"/> Non participating FFI
<input type="checkbox"/> It is a Certified Deemed Compliant FFI	<input type="checkbox"/> Limited FFI
<input type="checkbox"/> non reporting FFI	<input type="checkbox"/> Other: _____

DECLARATION:

I/We understand that the information supplied above, relating the Financial Institution hereto, is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Plc ("the Company") setting out how the Company may use and share the information supplied by me.

I/We acknowledge the processing of personal data regarding to the Account Holder, any Controlling Person and any Reportable Account(s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the Foreign Account Tax Compliance Act issued by the United States or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law reinforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

I/We hereby declare that, as Legal Representative(s) of the Financial Institution hereto, I/We am/are authorised to make this certification on behalf of the Account Holder and all statements made in this declaration are, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise you, the Financial Institution that maintains the account, **within 30 days** where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I/We commit my/our self to provide you with a suitably

Section 7A – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Financial Declaration (continued)

updated self-certification and Declaration **within 30 days from such alteration.**

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

Full Name and Surname / Capacity	Authorised Signature(s)	Date

Section 7B – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Non-Financial Entities

This declaration needs to be completed by Non-Financial Entities. All Ultimate Beneficial Owners of a Passive Non-Foreign Financial Entity holding more than 10% ownership must be identified below.

If necessary please print multiple copies of this page. A declaration per individual or Ultimate Beneficial Owner must be submitted.

A number of jurisdictions are adopting legislation designed to prevent tax evasion through the use of offshore accounts. In order to comply with international obligations there is a requirement to identify and report to the respective revenue service all persons identified as being subject to such legislation.

In order to facilitate this process, please complete the declaration below (please note that it is the investor's responsibility to determine in which jurisdiction/s he or she is a tax payer and the Company, and the Administrator accept no liability or responsibility for any incorrect declarations).

NON FINANCIAL INSTITUTIONS

[Please complete and sign as appropriate]

I/We confirm that *[insert name of entity]* _____

classified under FATCA as:

- Has a Global Intermediary Identification Number (GIIN) which is _____ **or**
 The entity has no GIIN, because _____.
 We have **NO** controlling person(s) who are US citizens or US resident; **or**
 We have one or more controlling person(s) who are US citizen(s) or US resident(s) (in this case, please provide their details as per below).

No.	Name of Beneficial Owner	Residential Address	Taxpayer Identification Number / Equivalent ID Number	% of Beneficial Interest	Date & Place of Birth (indicate Country and City of birth)
1.					
2.					
3.					

DECLARATION:

I/We understand that the information supplied above, relating the Financial Institution hereto, is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Plc ("the Company") setting out how the Company may use and share the information supplied by me.

I/We acknowledge the processing of personal data regarding the Account Holder, any Controlling Person and any Reportable Account(s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the FATCA issued by United States or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

Section 7B – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Non-Financial Entities (continued)

I/We hereby declare that, as Legal Representative(s) of the Financial Institution hereto, I/We am/are authorised to make this certification on behalf of the Account Holder and on behalf of the Controlling Persons listed above, who are fully aware that the information collected to them would be collected, processed and transferred to the competent Tax Authorities, and all statements made in this declaration are, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise you, the Financial Institution that maintains the account, **within 30 days** where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I/We commit my/our self to provide you with a suitably updated self-certification and Declaration **within 30 days from such alteration**.

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

Full Name and Surname / Capacity	Authorised Signature(s)	Date

Section 7C – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Individuals

A number of jurisdictions are adopting legislation designed to prevent tax evasion through the use of offshore accounts. In order to comply with international obligations there is a requirement to identify and report to the respective revenue service all persons identified as being subject to such legislation.

In order to facilitate this process, please complete the declaration below (please note that it is the investor's responsibility to determine in which jurisdiction/s he or she is a tax payer and the Company and the Administrator accept no liability or responsibility for any incorrect declarations).

INDIVIDUALS

[Please tick and complete ONE as appropriate. A declaration per individual must be submitted. If necessary, please print multiple copies of this page.]

I, _____ hereby declare and agree that I am **not** a U.S. person for U.S. federal tax purposes.

- I understand that the Company and Administrator believing that this statement is true, will rely and act on it.
- In the event this statement is wrong the Company reserves the right and shall be entitled to redeem my holdings in the scheme.
- I also agree to notify the Company of any change in my status as a non-U.S. person within 30 days.

I, _____ hereby declare and agree that I am a U.S. person for U.S. federal tax purposes.

- I also agree to notify the Company of any change in my status as a U.S. person within 30 days.

Please advise the Tax Identification Number and **also supply a completed W-9 Form.**

DECLARATION

I understand that the information supplied above by me relating to my account are covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Plc ("the Company") setting out how the Company may use and share the information supplied by me.

I acknowledge the processing of personal data regarding the Account Holder, any Controlling Person and any Reportable Account(s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the Foreign Account Tax Compliance Act issued by the United States or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

Section 7C – The Foreign Account Tax Compliance Act (“FATCA”) Declaration – Individuals (continued)

I hereby declare that I am authorised to make this certification as the Account Holder and all statements made in this declaration are, to the best of my knowledge and belief, accurate and complete.

I undertake to advise you, the Financial Institution that maintains the account, **within 30 days** where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I commit myself to provide you with a suitably updated self-certification and Declaration **within 30 days from such alteration**.

Full Name and surname*	Signature	Date

*If signing under Power of Attorney, please provide a certified copy of POA.

Section 8 Common Reporting Standard ("CRS") Self Certification Forms

A number of jurisdictions are adopting legislation designed to prevent tax evasion through the use of offshore accounts (e.g. the USA has introduced FATCA and the OECD, the Common Reporting Standard ("CRS")). In order to comply with the international obligations, the Administrator must identify and report all persons identified as being subject to such legislation to its Director of Income tax, who may transfer this information to the government of another territory in accordance with the relevant agreement.

In order to facilitate this process, these declarations must be completed in full and signed by every natural person who is considered a beneficiary or controller of the Applicant. This includes persons making an Individual or Joint Applicant, all controllers and/or ultimate beneficial owners of corporations or companies and beneficiaries of a Trust who have benefited from that Trust, and where there is more than one beneficiary this declaration can be photocopied and used.

PLEASE NOTE: It is the Applicant's responsibility to determine in which jurisdiction/s s/he is a tax payer and the Administrator accepts no liability or responsibility for any incorrect declarations made.

SELF CERTIFICATION FORMS

There are three self-certification forms:

Section 8A - Financial Institutions Self Certification

Section 8B - Non-Financial Institutions Self Certification and related Self Certification Forms for Controlling Persons

Section 8C -Individuals Self Certification

Kindy complete the Section relevant with your individual or entity classification.

DEFINITIONS

Definition can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account information ('the CRS'), the associated Commentary to the CRS, the domestic guidance and the Directive 2011/16/EU at the following links:

- <http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>
- <https://cfr.gov.mt/en/Pages/Home.aspx>
- <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32014L0107>

If you have any questions, please contact your tax adviser or domestic tax authority

Section 8A - Common Reporting Standard ("CRS") Self Certification Financial Institutions

This self-certification form needs to be completed and signed by all FINANCIAL INSTITUTIONS to confirm their status in accordance with the CRS.

Financial institution confirmation

[Please tick **ONE** as appropriate]

<input type="checkbox"/>	<p>We confirm that we are a Reporting Financial Institution resident in a Participating Jurisdiction under CRS. Furthermore, we confirm that:</p> <ul style="list-style-type: none"> We, the Intermediary, are classified as a Reporting Financial Institution in a Participating Jurisdiction in accordance to the provision of CRS introduced by the amended Directive on administrative cooperation (2014/107 EU amending 2011/16/EU) We, the Intermediary, have in place appropriate procedures in order to collect and report the information due under the CRS requirements. 			
<input type="checkbox"/>	<p>We confirm that we are a Non-Reporting Financial Institution under CRS. Please specify the type of Non-Reportable institution:</p> <p><input type="checkbox"/> Governmental Entity, International Organisation or Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund, Narrow Participation Retirement Fund, Pension Fund of a Governmental Entity, International Organisation or Central Bank or Qualified Credit Card Issuer.</p> <p><input type="checkbox"/> Any other Entity that presents a low risk of being used to evade tax</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> A trust to the extent that the trustee of the trust is a Reporting Malta Financial Institution and reports all information required to be reported pursuant to Section I with respect to all Reportable Accounts of the trust.</p>			
<input type="checkbox"/>	<p>We confirm that we are an Investment Financial Institution resident in a Non-Participating Jurisdiction under CRS.</p> <p>The following individuals are the identified Controlling Person(s) of the Account Holder: [Please provide Full Name and Surname and complete per each controlling person(s) Section 8C, Page.23]</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="height: 20px;"> </td></tr> <tr><td style="height: 20px;"> </td></tr> <tr><td style="height: 20px;"> </td></tr> </table>			

COUNTRY OF TAX RESIDENCE AND TIN CONFIRMATION

[as account holder please indicate the place of tax residence for EACH country/ Jurisdiction in which you are resident, and the taxpayer identification number ("TIN") for each country/ Jurisdiction indicated.]

	Country/Jurisdiction of Tax Residence	Taxpayer Identification Number (TIN)
1		
2		
<input type="checkbox"/>	I/we confirm that for the purposes of taxation, I am / we are tax resident in one country.	

If you are unable to obtain a TIN, please provide the appropriate reason and explain why such TIN is unavailable for each country/jurisdiction in which this applies.

DECLARATION

I/We understand that the information supplied is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Plc ("the Company") setting out how the Company may use and share the information supplied by me.

I/We acknowledge the processing of personal data regarding the Account Holder, any Controlling Person and any Reportable Account (s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the amended Cooperation with other Jurisdictions on Tax Matters Regulations or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

I/We hereby declare that, as Legal Representative(s) of the Financial Institution thereto, I/We am/are authorised to make this certification on behalf of the Account Holder and all statements made in this declaration are, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise you, the Financial Institution that maintains the account, **within 30 days** where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I/We commit my/our self to provide you with a suitably updated self-certification and Declaration **within 30 days** from such alteration.

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

Full Name and Surname /Capacity	Authorised Signature(s)	Date

Section 8B - Common Reporting Standard ("CRS") Self Certification - Non-Financial Entities

This self-certification form needs to be filed and signed by all **NON-FINANCIAL ENTITIES** to confirm their status in accordance with the CRS. Please provide the Country of Residence and the TIN of the entity completing the Country of Tax Residence and TIN confirmation section on page 23.

NON-FINANCIAL INSTITUTION CONFORMATION

[Please tick **ONE** as appropriate]

<input type="checkbox"/>	We confirm that we are an Active Non-Financial Entity			
<input type="checkbox"/>	We confirm that we are a Passive Non-Financial Entity <u>The following individuals are the identified Controlling Person(s) of the Account Holder:</u> [Please provide Full Name and Surname and complete per each controlling person(s), Section 8C page 22]] <table border="1" style="width: 100%; height: 60px;"> <tr><td> </td></tr> <tr><td> </td></tr> <tr><td> </td></tr> </table>			

DECLARATION

I/We understand that the information in Section 10 B is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Plc ("the Company") setting out how the Company may use and share the information supplied by me.

I/We acknowledge the processing of personal data regarding the Account Holder, any Controlling Person and any Reportable I Account (s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the amended Cooperation with other jurisdictions on Tax Matters Regulations or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

I/We hereby declare that, as Legal Representative(s) of the Non-Financial Institution, I/We am/are authorised to make this certification on behalf of the Account Holder and on behalf of the Controlling Person(s) listed above, who are fully aware that the information collected to them would be collected, processed and transferred to the competent Tax Authorities, and all statements made in this declaration are, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise you, the Financial Institution that maintains the account, **within 30 days** where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I/We commit my/our self to provide you with a suitably updated self-certification and Declaration **within 30 days from such alteration.**

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

Name and Surname /Capacity	Authorised Signature(s)	Date

Section 8B - Common Reporting Standard ("CRS") Self Certification - Non-Financial Entities

This page needs to be completed for EACH CONTROLLING PERSON identified on page 21 and page 22.

NAME OF CONTROLLING PERSON			
Name and surname			
CURRENT RESIDENCE			
Address			
Country		Postal Code/ZIP CODE	
MAILING ADDRESS (if different from current residence)			
Address			
Country		Postal Code/ZIP CODE	
DATE AND PLACE OF BIRTH			
Date of Birth			
Town/City of Birth			
Country of Birth			

Please indicate the legal name of the relevant entity of which you are a controlling person and the type of controlling you are exercising (by ownership, by other means, senior managing official, settlor trustee, protector, beneficiary, other)

	Legal Name Entity	Type of Ownership
1		
2		
3		

Country of TAX residence and TIN confirmation [as account holder, please indicate the place of tax residence for EACH country /jurisdiction indicated]

	Country/Jurisdiction of Tax Residence	Taxpayer Identification Number (TIN)
1		
2		
<input type="checkbox"/>	I/we confirm that for the purposes of taxation, I am/we are tax resident in one country.	

If you are unable to obtain a TIN, please provide the appropriate reason and explain why such TIN is unavailable for each country/jurisdiction in which this applies.

Section 8C - Common Reporting Standard ("CRS") Self Certification - Individuals

This self-certification form needs to be filed and signed by all INDIVIDUAL APPLICANTS to confirm their status in accordance with CRS.

Country of Tax residence and TIN Confirmation

[as Account holder, please indicate the place of tax residence for **EACH** country/ Jurisdiction in which you are resident, and the taxpayer identification number ("TIN") for each country/jurisdiction indicated.]

Country/Jurisdiction of Tax Residence		Taxpayer Identification Number (TIN)
1		
2		
<input type="checkbox"/>	I/we confirm that for the purposes of taxation, I am/we are tax resident in one country.	

If you are unable to obtain a TIN, please provide the appropriate reason and explain why such TIN is unavailable for each country/jurisdiction in which this applies.

(E.g. The country/jurisdiction does not issue TINs to residents, No TIN is required)

I am unable to obtain a TIN or equivalent number because:

1	
2	

DECLARATION

I understand that the information supplied above by me relating to my account are covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Provenance SICAV Pc ("the Company") setting out how the Company may use and share the information supplied by me.

I acknowledge the processing of personal data regarding the Account Holder, any Controlling Person and any Reportable Account(s) given in relation to this application and I/we accept that the Administrator may, in order to fulfil its duties to the Company and comply with the Foreign Account Tax Compliance Act issued by the United States or to facilitate compliance with, any law, regulation, court order or requirement of a governmental, regulatory, supervisory, law enforcement, prosecuting, tax or similar authority or industry body in any jurisdiction existing currently or in the future, or for the purposes of ongoing cooperation with such governmental, regulatory and statutory authority, or to comply with any agreement or arrangement with such authority or between such authorities in any jurisdiction existing currently or in the future: (i) retain such personal data for prescribed periods after the redemption of the Participating Shares subscribed for; (ii) transfer such information to the Director of Income Tax - who may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information - the Directors, Manager, Investment Manager, Custodian and legal adviser or any agent of the Company entitled to receive such information; and (iii) transfer such personal data to any person or entity to which the Administrator has a legal obligation to disclose such information.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, accurate and complete.

I undertake to advise you, the Financial Institution, that maintains the account within 30 days where any change in circumstances occurs, which affects the tax residency status of the Account Holder identified and which causes any of the information contained in this form to be inaccurate or incomplete. I commit myself to provide you with a suitably updated self-certification and Declaration within 30 days from such alteration.

Full Name and Surname _____

Capacity _____

Please indicate capacity in which you are signing.

If signing under Power of Attorney, please provide a certified copy of POA.

Date _____

Signature _____

Section 7 – Privacy notice

THE PURPOSE OF THIS NOTICE

This privacy notice describes how the personal data provided in respect of the Company is used, stored, transferred or otherwise processed, and other matters relating to it. This may relate to you if you are an individual or to your individual representatives if you are a body corporate. This notice also contains information about rights in relation to personal data.

Any questions about the contents of this privacy notice or how personal data will be used, stored, or transferred, should be sent to the Data Privacy Manager via email_provenance@tridenttrust.com or post at Second Floor, Orange Point, Dun Karm Street, Birkirkara By-Pass, Birkirkara, Malta BKR 9037.

RESPONSIBILITY FOR PERSONAL DATA

This privacy notice is provided on behalf of: The Company; the Manager; the Administrator; the Registrar; the Custodian and the Investment Advisor.

Where we use the terms, we, us and our in this privacy notice, we are referring to the Sub-Fund in which you invest.

When personal data is provided to us, the Company will, in relation to some or all the personal data, be acting as a "data controller". The data controller determines how the personal data is used and for what purposes.

THE DATA WE COLLECT

The types of personal data we collect, and share depends on the type of investor and investment being made. The types of information which we may collect include:

- (a) Name, address, and other contact information.
- (b) Information about your date of birth, place of birth, passport details or other national identifier, national insurance or social security number and information about your family.
- (c) Information regarding bank account details, assets, income, employment, source of funds, investment history and risk tolerance.

In order to provide our services to you we collect information about you from several sources, including from you directly. Information that you give us is received from the subscription document, tax forms and other associated documentation that you complete when subscribing for an investment in a Sub-Fund and when you provide it in correspondence and discussions with us. Other sources from which we receive data include tax authorities, government and competent regulatory authorities to whom we have regulatory obligations, publicly available directories and sources, background check providers and credit, fraud and detection agencies and bankruptcy registers.

HOW WE USE PERSONAL DATA

We require personal information for several reasons, including:

- (a) For compliance with applicable legal or regulatory obligations to:
 - o Verify the identity and addresses of our investors and prospective investors and, if applicable, their beneficial owners and individual representatives.
 - o Undertake our due diligence and on-boarding checks.
 - o Carry out verification, know your customer, terrorist financing and anti-money-laundering checks and to ensure compliance with sanctions.
 - o Comply with requests from regulatory, governmental, tax and law enforcement authorities, including, without limitation, with respect to compliance with the US Foreign Account Tax Compliance Act ("FATCA") and the OECD common reporting standard ("CRS") or any legislation, regulations or guidance enacted in any jurisdiction that seeks to implement a similar tax reporting or withholding tax regime.

Section 7 – Privacy notice (continued)

- o Undertake investigation, surveillance and audit checks and to prevent and detect fraud.
 - o Maintain statutory registers.
- (b) In order to perform our contract with you so that we can:
- o Establish, administer, and manage your investment.
 - o Meet our contractual obligations.
 - o Facilitate the relationship between you and the Company.
- (c) For our legitimate interests or for those of a third party to enable us to:
- o Administer and manage your investment in the Sub-Fund including corresponding with you in connection with your investment.
 - o Review, analyse and process any requests or applications made by you or on your behalf.
 - o Address or investigate any complaints, claims, proceedings or disputes and to seek professional advice, including legal advice.
 - o Provide you with and inform you about our products and services.
 - o Meeting our obligations and requirements including regulatory, accounting, tax reporting, and audit.
 - o Ensure appropriate management and governance, management of risk and operations (including protecting our business against fraud and other risks) and to maintain our internal records and act in accordance with our policies and procedures.

In limited circumstances, we may approach the relevant individual for written consent to allow us to process certain particularly sensitive data, known as special category data. If we do so, we will provide the individual with full details of the information that we would like and the reason we need it, so that the individual can carefully consider whether to give consent.

CONSEQUENCES OF NOT PROVIDING PERSONAL DATA

We require personal information in respect of the Company to be able to comply with our legal and regulatory obligations and to operate the relevant Sub-Fund. Accordingly, if personal data required is not provided, an investor or prospective investor may not be able to invest in a Sub-Fund and we may not be able to manage your investment.

DISCLOSURE TO THIRD PARTIES

In relation to personal data processed in connection with a Sub-Fund, each Sub-Fund's structure involves legal entities affiliated with the Company to allow it to operate and fulfil its aims. Affiliated entities to which personal data may be transferred include:

- (a) Investment managers and advisers in order that we can manage our relationship with you.
- (b) Administrators and depositories in connection with the management of your investment, the administration of investment related activities and to enable compliance with applicable laws and regulations.
- (c) Tax authorities to comply with applicable laws and regulations or where requested by such tax authority (including authorities outside of the European Economic Area (EEA)).
- (d) Service providers and our professional advisers to facilitate investments, provide investment related services and to provide us with legal advice in relation to the Company and your investment.

Section 7 - Privacy Notice (continued)

There may also be circumstances where we are obliged by law to disclose personal data, including to law enforcement agencies and applicable regulators.

LOCATION OF PERSONAL DATA

It may be necessary for us or associated third parties to effect cross-border transfers of personal data, including to the United States of America and to countries outside the EEA. In some cases, personal data may be transferred to jurisdictions outside of Malta and the EEA that are not deemed to have data protection frameworks that are equivalent to those of the EEA. Such transfers may be to governmental, regulatory, or judicial authorities, auditors, legal advisors or agents as well as to sub- contractors engaged by us. In these situations, we will seek to put appropriate safeguards in place to maintain the security of your data. Please contact us if you would like to know more about these arrangements.

RETENTION OF YOUR DATA

The Company and those third parties to whom personal data is transferred will retain that data if is necessary for the purposes set out above. In particular, the Company will hold certain personal data and other information regarding investors in Sub-Funds for at least if they remain investors. The retention period may extend beyond the investment term where necessary for the Company's legitimate interests, including to comply with legal or regulatory obligations or to facilitate the Sub- Fund's on-going administration and performance.

INDIVIDUAL RIGHTS

Individuals whose personal data is processed by us have certain legal rights in respect of the information. These include:

- the right to request access to personal data.
- the right to obtain information about the use of personal data.
- the right to require rectification (correction) of errors in personal data without undue delay.
- the right to have personal data erased without undue delay in certain circumstances.
- the right to restrict the processing of personal data in certain situations.
- the right to receive personal data in a structured, commonly used and machine-readable format and transmit that data to a third party.
- The right to be notified of rectification, erasure and restrictions
- Right not to be subject to decisions based on automated processing

If an individual wish to exercise any of these rights and the Company has transferred that person's data to a third party, the Company will communicate that request to the relevant third party unless it would be impossible or involve disproportionate effort to do so.

RIGHT TO WITHDRAW CONSENT

In the limited circumstances where the individual may have provided their consent to the collection, processing and transfer of personal information for a specific purpose, the individual has the right to withdraw consent for that specific processing at any time.

To withdraw consent, please contact provenance@tridenttrust.com. Once we have received notification that the individual has withdrawn consent, we will no longer process information for the purpose or purposes that the individual originally agreed to, unless we have another legitimate basis for doing so in law.

UPDATES

This notice is under regular review and may be updated periodically and without prior notice to reflect changes in the Company's personal information practices.

Section 7 - Privacy Notice (continued)

CONCERNS OR QUERIES

Any questions about the contents of this notice use of personal data should be addressed to the Data Privacy Manager via email provenance@tridenttrust.com or post at Second Floor, Orange Point, Dun Karm Street, Birkirkara By-Pass, Birkirkara, Malta BKR 9037.

Issues or concerns individuals have regarding their personal data can also be brought to the attention of the applicable supervisory authority in your country, where you live or work, or the location where the data protection issue arose.

Section 10 Politically Exposed Person ("PEP") Declaration

This section must be completed by ALL applicants to confirm their status as a Politically Exposed Person.

Please note: If an Investor is a legal entity or trust with one or more Individuals (either in the management body, a shareholder or beneficial owner) who meets the definition of the Politically Exposed Person, that person should fill and sign the Declaration themselves.

If necessary, please print multiple copies of this page.

ENTITY DECLARATION	
[Please tick ONE as appropriate]	
<input type="checkbox"/>	We do not have PEP(s) involved in our structure.
<input type="checkbox"/>	We do have PEP(s) involved in our structure. <i>In this case please ensure to make the PEP(s) complete and sign the declaration in the following Individual Declaration.</i>

INDIVIDUAL'S DECLARATION	
[please tick as appropriate]	
<input type="checkbox"/>	I am not a PEP according to the PEP definition.
<input type="checkbox"/>	I am a PEP according to the PEP definition. <i>If you are a PEP, please specify if:</i>
<input type="checkbox"/>	You are/you have been personally a PEP
<input type="checkbox"/>	Your Immediate Family member is/ has been PEP, or you are a close associate of a PEP. In this case provide the following information accordingly:
Name and Surname of the person classified as a PEP:	
Where applicable, specify the type of relationship	
Where applicable, describe the nature of the close association:	

Entity's Representative Declaration:	I/We hereby declare that, as Legal Representative(s) of the Entity hereto, I/We am/are authorised to make this certification on behalf of the Account Holder and all statements made in this declaration are, to the best of my/our knowledge and belief, accurate and complete. I/We also agree to notify you immediately of any modification to any information provided.
Individual's Declaration:	I hereby declare that all statements made in this declaration are, to the best of my knowledge and belief, accurate and complete. I also agree to notify you immediately of any modification to any information provided.

First signatory

Full Name and Surname / Capacity*	Authorised Signature	Date
-----------------------------------	----------------------	------

Second Signatory (if applicable)

Full Name and Surname / Capacity*	Authorised Signature	Date
-----------------------------------	----------------------	------

*Please Indicate capacity in which you are signing

POLITICALLY EXPOSED PERSON DEFINITION

In accordance with the Regulation 2 of the Prevention of Money Laundering and Funding of Terrorism Regulations ("PMLFTR"), a PEP is defined as a natural person who is or has been entrusted with prominent public functions and includes his immediate family members or persons known to be close associates of such persons, but shall not include middle ranking or more junior officials.

A natural person who is or has been entrusted with a prominent public function shall include:

- (a) Heads of State, Heads of Government, Ministers and Deputy and Assistant Ministers and Parliamentary Secretaries;
- (b) Members of Parliament;
- (c) Members of the Courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
- (d) Members of courts of auditors, Audit Committees or of the boards of central banks;
- (e) Ambassadors, charge d'affaires and other high-ranking officers in the armed forces;
- (f) Members of the administration, management or boards of State-owned corporations; and where applicable, for the purposes of (a) to (e), shall include positions held at the Community or international level.

With respect to the term 'immediate family members' of PEPs, the PMLFTR provide that the term shall include:

- (a) the spouse, or any partner recognised by national law as equivalent to the spouse;
- (b) the children and their spouses or partners; and the Parents.

With respect to the term 'persons known to be close associates', the PMLFTR provide that the term shall include:

- (a) a natural person known to have:
 - (1) joint beneficial ownership of a body corporate or any other form of legal arrangement;
 - (2) or any other close business relations with that PEP.
- (b) a natural person who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of that PEP.

Section 11 - Professional Intermediary Letter

All Professional Intermediaries need to supply the following letter addressed to Trident Fund Services (Malta) Limited on headed paper and signed by authorised signatories of the regulated entity (electronic copies of this letter are available from the Administrator on request).

Dear Sir

Registered Name of Intermediary Company	
Specify country or Jurisdiction where regulated	
specify Name of regulatory authority	

We understand that in accordance with relevant legislation, in order to treat us as the client principal, you require us to give the following confirmations to Trident Fund Services (Malta) Limited:

Please tick as appropriate:

- that we are a regulated financial services business from a Reputable Jurisdiction", other than a trust and corporate service provider; **OR**
- a wholly owned subsidiary of a regulated financial services business meeting the definition in above, offering nominee or pensioner trustee services to our regulated parent company for no charge; **AND**
- we hereby provide written confirmation to Praxis Fund Services (Malta) Limited that:
 - we, the Intermediary, have appropriate risk-grading procedures in place to differentiate between the Customer Due Diligence ("CDD") requirements for high and low risk relationships;
 - we conduct all necessary COD procedures in respect of our customers, including enhanced CDD measures for PEP and other high-risk relationships;
 - the account will only be operated by ourselves and that we have ultimate, effective control over the account.
- we confirm that the purpose and nature of the business relationship between us, yourselves, and our client(s) is the investment in investment trusts or companies.

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

<u>Full Name and Surname /capacity</u>	<u>Authorised Signature(s)</u>	<u>Date</u>

* for the current list of Reputable Jurisdictions defined by Malta Financial Intelligence Analysis Unit please contact the Administrator

** please ensure that this letter is signed by valid authorised Signatories and a certified true copy of the relevant authorised signatory list is also provided.

Section 12 - Additional Subscription Form**Please complete this page in BLOCK CAPITALS**

I/We the undersigned having received and read a copy of the Fund Documents hereby apply to subscribe for additional Investor Shares in **Luxury Brands Fund**, a sub-fund of Provenance SICAV plc, at the next available dealing date.

Please refer to the Offering Supplement for cut off times.

REGISTERED NAME	
ACCOUNT DESIGNATION (IF APPLICABLE)	The Account Designation is used in respect to client account! bond or policy number
HOLDER CODE	

SHARE CLASS	Amount (Please specify the amount in the relevant class and currency box)		
Institutional Investor Shares	GBP	EUR	USD
Retail Investor Shares	GBP	EUR	USD

DATE FUNDS WERE REMITTED	
--------------------------	--

Initial and subsequent subscriptions must be a minimum of 1,000 in the relevant currency.

By signing below (in accordance with signing instructions previously supplied):

- (a) I/We confirm that the application is made on the terms and conditions set out in the Application Documents.
- (b) I/We certify the above information to be true and correct and that Mille will supply the required information with my/our application (all applicants to sign).
- (c) I/We confirm that there have been no alterations to my/our particulars as detailed on my/our previous application/s and if there are changes Mille will inform the Administrator and arrange to complete and return a new application form to the Administrator.
- (d) I/We have read and understood the undertakings and warranties listed in the Prospectus of the Company. I/We further understand and agree that by signing this Application Form or the Additional Application Form I am / we are also making each of these undertakings and warranties as though they were included in this Application Form or the Additional Application Form.

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

<u>Full Name and Surname / Capacity</u>	<u>Authorised Signature(s)</u>	<u>Date</u>

*If you email or fax this Additional Subscriptions Form, please mail the originals (clearly marked "Duplicate") to the Administrator to arrive within seven business days of the date of the email/fax. Note, contract notes will only be issued on receipt of original documents.

The Administrator: Trident fund services (Malta) Ltd, Second Floor, Orange Point Building, Dun Karm street, Birkirkara by-Pass, Birkirkara, BKR 9037, Malta Tel: +356 23715500 Fax: +356 21442534 Email: provenance@tridenttrust.com
Web: <https://tridenttrust.com/locations/malta/>

Section 13 - Redemption Form

Please complete this page in BLOCKCAPITALS

REGISTERED HOLDER	
-------------------	--

To: Trident Fund Services (Malta) Limited re Provenance SICAV plc-Luxury Brands Fund				
Address:	Second floor, Orange Point, Dun Karm street, Birkirkara Bypass Birkirkara, Malta BKR 9037	Contact	Tel: +356 2371 5500 Fax: +356 21442534	Email: provenance@tridenttrust.com Web: https://tridenttrust.com/locations/malta/

Redemption of shares ("Shares")		
EITHER		OR
At the next redemption Day, please redeem sufficient Shares to realise the following amount	Retail	At the next Redemption Day, please redeem the following number of shares
GBP		GBP Shares
EUR		EUR Shares
USD		USD Shares

Payment of Redemption Proceeds		
[Redemption proceeds will only be paid when this redemption instruction is received in original form by Trident Fund Services (Malta) Limited]		
EITHER		OR
Please pay the redemption proceeds to the bank account designated on the original Application Form:		Please pay the redemption proceeds to the following bank account:
Please tick <input checked="" type="checkbox"/>		BANK NAME
In the event of the Applicant wishing the redemption proceeds to be paid to a bank account differing from that designated on the Application Form, the Applicant should submit with this form sufficient evidence to satisfy the Administrator that the change in the designated bank account is duly authorised and otherwise lawful and valid.		SORT/SWIFT CODE
		BANK ADDRESS
		ACCOUNT NAME
		IBAN/ACCOUNT NUMBER

SIGNATORIES (Authorised signatories to sign in accordance with the powers of their signatory list. If signing under Power of Attorney, please provide a certified copy of POA.)

Full Name and Surname /Capacity	Authorised Signature(s)	Date