

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

This application form for the initial subscription (the “**Application Form**”) should be read in the context of, and together with, the latest Prospectus (and any Supplement(s) thereto), the key information documents (“**PRIP-KID**”) and/or the Key Investor Information Document (“**UCITS-KIID**”) of **Vietnam Equity (UCITS) Fund** (the “**Fund**”, LEI: 254900EVTJZ4VAUG4M43), a sub-fund of DC Developing Markets Strategies plc (the “**Company**” LEI: 213800POVUDXEUZ8SC97) (collectively the “**Prospectus**”) and, save where otherwise defined in this Application Form, all capitalised terms shall have the same meaning as is ascribed to them in the Prospectus. None of the Prospectus, the Supplement, the PRIP-KID and/or the UCITS-KIID or Application Form constitutes an offer or solicitation to the public in the United States of America or in any other jurisdictions in which such offer or solicitation is not authorised.

Completed Application Forms should be sent by signed PDF via email to the details below. (Please note applications for shares will not be deemed to be complete until all anti-money laundering procedures have been completed and supporting investor due diligence documentation received.)

<b>Attention: Transfer Agency Department</b> <b>DC Developing Market Strategies plc - Vietnam Equity (UCITS) Fund</b> <b>c/o SEI Investments - Global Fund Services Limited</b> <b>Styne House, Upper Hatch Street,</b> <b>Dublin 2, D02 DY27</b> <b>Ireland</b>	<b>Email: <a href="mailto:tadublin@seic.com">tadublin@seic.com</a></b> <b>Phone: +353 1 638 2440</b>
---	---

**All relevant sections must be completed in order to validate this application. Please read this Application Form carefully before signing.**

### 1. ACCOUNT REGISTRATION

Please print exactly how the shareholder account is to be registered – including any account designation.

<b>Registered Shareholder Name:</b>	
<b>Designation (if applicable):</b>	
<b>Registered / Permanent Address (include postcode and country):</b>	
<b>Correspondence Address (if different):</b>	
<b>Tax Identification Number (for individuals):</b>	
<b>Telephone Number (include country code):</b>	
<b>Email Address:</b>	
<b>Date of Birth (dd/mm/yyyy):</b>	
<b>Nationality:</b>	

<b>Joint Registered Shareholder:</b>	
<b>Registered / Permanent Address (include postcode and country):</b>	
<b>Tax Identification Number (for individuals):</b>	
<b>Telephone Number (include country code):</b>	
<b>Email Address:</b>	
<b>Date of Birth (dd/mm/yyyy):</b>	
<b>Nationality:</b>	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### 2. INITIAL SUBSCRIPTION DETAILS

I / We the undersigned having received, read and carefully considered a copy of the current Prospectus and the most recent annual report of the Fund, and having had an opportunity to review the material contracts referred to in the Prospectus, hereby apply for Shares in the Fund at the subscription price calculated in accordance with the Prospectus, as may be issued for with the monetary amount indicated below:

Name of Share Class (Tick to Select)	Minimum Initial Subscription Denomination as per the Prospectus	Class Currency	Dealing Cut-off for Subscriptions
<input type="checkbox"/> Vietnam Equity (UCITS) Fund - A Shares	USD 10.00	USD	2.00 p.m. (Irish time) On the relevant Subscription Date
<input type="checkbox"/> Vietnam Equity (UCITS) Fund - B Shares	EUR 1,000,000.00	EUR	2.00 p.m. (Irish time) On the relevant Subscription Date
<input type="checkbox"/> Vietnam Equity (UCITS) Fund - C Shares	GBP 1,000,000.00	GBP	2.00 p.m. (Irish time) On the relevant Subscription Date

**PLEASE NOTE THAT THE OFFICIAL DEALING DEADLINE FOR THE FUND IS 2.00 P.M. (IRISH TIME).**

The Management Shares are not available for subscription, except as the Directors may otherwise determine.

Please confirm the cash amount OR number of shares to be purchased.

**Subscription monies must be sent in the class currency of the relevant share class.**

**CASH SUBSCRIPTION:**

Using Numeric Characters:      ,,, .

Using Alphabetical Characters:      \_\_\_\_\_

**SUBSCRIPTION IN SHARES:**

Using Numeric Characters:      ,,, .

Using Alphabetical Characters:      \_\_\_\_\_

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### 3. BANK DETAILS

Subscriptions should be lodged in class currency by electronic transfer in the following account by 4.00 p.m. (Irish time) on the Business Day two Business Days after the Subscription Date.

PLEASE NOTE THAT THE FUND DOES NOT ACCEPT THIRD PARTY PAYMENTS FOR SUBSCRIPTIONS.

#### USD ACCOUNT

Beneficiary Bank:	The Northern Trust International Banking Corporation, New Jersey
SWIFT / BIC:	CNORUS33
Fedwire ABA:	026001122
CHIPS ABA:	0112
Account Name:	Vietnam Equity (UCITS) Fund - USD SUB/RED account
Account Number:	212167 20010
Reference:	(add applicable reference information)

#### EUR ACCOUNT

Intermediary Bank:	Barclays Bank PLC, Frankfurt
SWIFT / BIC:	BARCDEFF
Beneficiary Bank:	The Northern Trust International Banking Corporation, New Jersey
Account Number:	0210472800
Beneficiary SWIFT / BIC::	CNORUS33
Beneficiary Account Name:	Vietnam Equity (UCITS) Fund - EUR SUB/RED account
Beneficiary Account Number:	657106 20019
Reference:	(add applicable reference information)

#### GBP ACCOUNT

Intermediary Bank: :	Barclays Bank PLC, London
SWIFT / BIC:	BARCGB22
For Account:	The Northern Trust International Banking Corporation, NJ
IBAN:	GB64 BARC 2032 5353 5294 95
Beneficiary Account Name:	Vietnam Equity (UCITS) Fund - GBP SUB/RED account
Beneficiary Account Number:	646547 20019
Reference:	(add applicable reference information)

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Please supply bank or building society account details in the section below (these payment details will be used for all future redemption and dividend payments (if applicable) unless changed in writing by the investor).

Bank / Building Society: _____	Account Name: _____
SWIFT / Sort Code: _____	Account Number / IBAN: _____
Account Currency: _____	Correspondent / Pay Through Bank: _____
Address: _____	Address: _____
Postcode: _____	SWIFT / Sort Code: _____
IBAN: _____	

PLEASE NOTE THAT THE FUND DOES NOT MAKE PAYMENTS TO THIRD PARTIES. THE ACCOUNT DETAILS PROVIDED ABOVE MUST BE IN THE NAME OF THE REGISTERED SHAREHOLDER. REDEMPTIONS WILL NOT BE PAID TO INVESTORS WHO HAVE NOT PROVIDED COMPLETE ACCOUNT OPENING AND DUE DILIGENCE DOCUMENTATION.

#### 4. DECLARATIONS / REPRESENTATION AND WARRANTIES

Capitalised terms not otherwise defined herein shall have the meaning provided in the Prospectus. References to the singular may be deemed to be references to the plural as the context requires.

- (1) If I am / we are acting as agent, representative or nominee for the account of a third party (the “**Beneficial Owner**”), I/we acknowledge and agree that the agreements, representations and warranties herein are also made for and on behalf of (to the fullest extent possible) the Beneficial Owner. I / We represent and warrant that I / we have all requisite power and authority to execute this Application Form and complete the transactions contemplated hereby and that, in doing so, I / we will not be in breach of any laws or regulations of any competent jurisdiction. I / we do not control, and I am / we are not controlled by or under common control with, any other existing prospective investor in the Fund.
- (2) I / We have received and considered the Prospectus. This application is made on the terms thereof and subject to the Memorandum and Articles of Association of the Company. I / We acknowledge and agree that the Prospectus may be amended by the Directors from time to time and agree that, upon proper notice, I / we will be bound by any subsequent amendments to the Prospectus, provided that any variation of class rights has been duly approved where required.
- (3) I / We hereby irrevocably apply for Participating Shares at a price determined in accordance with the Prospectus. I / We acknowledge that the Fund reserves the right to reject any application in whole or in part for any or no reason.
- (4) I am / We are submitting this application relying solely on the facts and terms set forth in this application, the current Prospectus, and any additional documents given to me / us by Waystone Management Company (IE) Limited (the “**Manager**”) or the Company (the “**Offering Materials**”). I / We confirm that I / we have read carefully and understood the Offering Materials and have made further investigations as I or my / we or our representatives deem appropriate to evaluate the merits and risks of this investment. I am / we are not relying upon the Manager or the Company for guidance with respect to tax or other legal considerations; I / we acknowledge that I / we have been advised to consult with my / our own attorney regarding legal matters and to consult with my / our tax advisor regarding the tax issues. I / we have been afforded an opportunity to ask questions of, and receive answers from, the Manager or the Company, or persons authorised to act on their behalf, concerning the terms and conditions of the purchase of the Participating Shares and the information contained in the Offering Materials and that all such questions have been answered to my / our full satisfaction. I / we have been afforded the opportunity to obtain any additional information (to the extent the Manager or the Company had such information or could acquire it without unreasonable effort or expense) necessary to verify the accuracy of information otherwise furnished by the Manager or the Company.
- (5) I / We warrant that: (a) I / we have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Fund and to make an informed decision with respect thereto; (b) I am / we are aware of the risks inherent in investing in the Participating Shares and the method by which the assets of the Fund are held and/or traded; and (c) I / we can bear the risk of loss of my / our entire investment.
- (6) I / We warrant that I / we have the right and authority to make the investment pursuant to this Application Form and that I / we will not be in breach of any laws or regulations of any competent jurisdiction and I / we hereby indemnify the Company (on its own behalf and on behalf of the Directors, the Manager, the Investment Manager, the Administrator and other shareholders) for any loss suffered by them as a result of this warranty/representation not being materially accurate in every respect.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

- (7) I / We hereby certify that I am / we are not a U.S. Person. I / We further certify that the Participating Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person and that I / we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Participating Shares in the United States or to or for the benefit of, directly or indirectly, a U.S. Person. I / We will notify the Company or the Administrator if I / we become a U.S. Person or if I / we become aware that the person for whom I / we hold Participating Shares has become a U.S. Person.
- (8) I / We certify that I / we will be acquiring the Participating Shares for investment and not for distribution or resale to others. I / We understand that (a) the Company has not been, and will not be, registered under the United States Investment Company Act of 1940 (as amended) (the “1940 Act”); (b) the Participating Shares have not been, and will not be, registered under the United States Securities Act of 1933 (as amended) (the “1933 Act”); and (c) the Participating Shares have not been qualified under the securities laws of any state of the United States and, absent approval by the Directors and except as permitted under the 1933 Act, the 1940 Act and any applicable state securities laws, the Participating Shares may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person.
- (9) I / We agree that the transfer or assignment of the Participating Shares acquired shall be made only in strict accordance with the provisions of the Prospectus and all applicable laws. Within ten days after receipt of a written request from the Company, I / we agree to provide any information and to execute such documents as the Company may deem reasonably necessary to comply with any applicable laws.
- (10) I am / We are or will hold Participating Shares on behalf of a U.S. Taxpayer:

Yes  No  (tick the appropriate box)

If the “yes” box is ticked, I / we have reviewed the disclosures relating to U.S. taxation and I / we understand the U.S. tax consequences of such an investment. I / we agree to provide the Company with such additional tax information as it may request. I / We acknowledge that subscriptions by U.S. Taxpayers may be rejected for any or no reason. **U.S. Taxpayers must provide a properly executed IRS Form W-9. To the extent required by any underlying fund in which the Fund invests, Non-U.S. Taxpayers will be required to provide a properly executed IRS Form W-8.**

No more than 10% of the entity hereby subscribing for Participating Shares is owned by or held for the benefit of any U.S. Taxpayer.

Yes  No  (tick the appropriate box)

I / We agree to provide the Company with such additional information about U.S. Taxpayers as the Company may request.

- (11) The entity hereby subscribing for Participating Shares is a Benefit Plan Investor (as defined in **Appendix B**) or investing on behalf of or with any assets of a Benefit Plan Investor. (Benefit Plan Investor must contact the Administrator).
- Yes  No  (tick the appropriate box)

If the “yes” box is ticked, I / we have reviewed the restrictions relating to Benefit Plan Investor in the Prospectus, and I / we understand that the Company has discretion to require the compulsory redemption of Participating Shares to ensure that the interests of Benefit Plan Investor do not equal or exceed 25% of the value of any class of shares.

- (12) I / We declare that I am / we are  or am / are not  (tick the appropriate box) a person (including an entity) that has discretionary authority or control with respect to the assets of the Fund or a person who provides investment advice with respect to Fund assets, or an “affiliate” of such a person. For purposes of this representation, an “affiliate” is any person controlling, controlled by or under common control with the Fund or any of its investment advisers (including the Investment Manager), including by reason of having the power to exercise a controlling influence over the management or policies of the Fund or its investment advisers (including the Investment Manager).
- (13) If I am / we are a commodity pool, my / our investment is directed by an entity which is (a) not required to be registered in any capacity with the CFTC or to be a member of the U.S. National Futures Association (“NFA”); (b) exempt from such registration; or (c) duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.
- (14) I am / We are (or any of my / our affiliates are) a provider of derivative or structured products and I am / we are investing as part of a derivative or structured product program:

Yes  No  (tick the appropriate box)

**If the “Yes” box is ticked, I / we represent and warrant that neither I / we nor any of my / our affiliates will enter into or issue any derivative or structured product (each a “Structured Product”), based, directly or indirectly, in whole or in part, on the value of the Fund or my / our Participating Shares, with or to any entity (each, a “Structured Product Investor”), if (i) the Structured Product Investor (or any underlying beneficial owner) would be: (1) a beneficial owner of Participating Shares for purposes of the 1940 Act, unless such Structured Product Investor (and, where applicable, underlying beneficial owner) is either (A) both a “qualified purchaser” as defined in Section 2(a)(51) of the 1940 Act and the rules thereunder and an “accredited investor” as defined in Rule 501(a) in Regulation D under the 1933 Act or (B) not a U.S. Person; or (2) a holder of Participating Shares who is a Benefit Plan Investor; and (ii) the sale of the Structured Product or the purchase of the**

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Structured Product by any Structured Product Investor (and any underlying beneficial owner) would result in any violation by the Company and/or its investment advisers of any laws or regulations in any jurisdiction.

**If the “No” box is ticked,** I / we represent and warrant that neither I / we nor any of my / our affiliates will enter into or issue any Structured Product based, directly or indirectly, in whole or in part, on the value of the Fund or my / our Participating Shares.

- (15) I / We acknowledge that the Administrator may require proof of identity as described in **Appendix A** and in the Prospectus (as well as any / our other information required by the Administrator) before the application can be processed and the Company (on its own behalf and on behalf of the Directors, the Investment Manager and the Administrator) shall be held harmless and indemnified against any loss due to the failure to process this application if I / we do not provide such information.
- (16) I / We accept that the Company has authority to redeem a portion of my / our investments in the Fund and to pay the proceeds to the Investment Manager as part of any Performance Fee payable in accordance with the provisions of the Prospectus.
- (17) I / We consent to details relating to my / our application and holdings being disclosed to the Investment Manager and any company carrying out Fund marketing and/or investor servicing duties. I / We consent to the disclosure of any information furnished to the Company to any of its service providers, to any of its duly authorised agents, governmental authority, self-regulatory organisation or, to the extent required by law, to any other person.
- (18) I / We acknowledge that certain laws and regulations may require disclosure of my / our identity (and other details) under some circumstances, and such disclosures may be a matter of public record. I / We consent to such disclosure and, to the extent permitted by law, waive any rights I / We may have under any law that could prevent such disclosure. I / We further acknowledge that in order to comply with the provisions of the U.S. Foreign Account Tax Compliance Act (“**FATCA**”) and avoid the imposition of U.S. federal withholding tax, the Company and its delegates may from time to time after 2012 require further information and/or documentation from me / us and my / our direct and indirect beneficial owners (if any), relating to any of our identities, residences (or jurisdictions of formation) and income tax status, and may provide or disclose such information and documentation to the IRS. I / We agree that I / we shall provide any such information and documentation concerning myself or my / our beneficial owners (if any) when reasonably requested by the Company. I / We acknowledge that, if I / we do not provide the requested information and documentation, the Company may, at its sole option and in addition to all other legal or equitable remedies, immediately redeem my / our investment, prohibit additional investment, decline or delay any redemption request and/or deduct from my / our account and retain amounts sufficient to indemnify and hold harmless the Company from any and all withholding taxes, interest, penalties and other losses or liabilities suffered by the Company on account of any failure by me / us to provide all requested information or documentation in a timely manner. I / We acknowledge and agree that I / we will have no claim against the Company or any of its affiliates, agents or delegates for any form of damages or liability as a result of any of the aforementioned actions.
- (19) I / We acknowledge that I / we will indemnify and hold harmless the Administrator, the Manager, the Investment Manager and the Company and their respective directors / members with an executive function, officers and employees and other shareholders against any loss, liability, cost or expense (including, without limitation, attorneys’ fees, taxes and penalties) which result, directly or indirectly, from any misrepresentation or breach of any warranty, condition, covenant or agreement or in any document delivered by me / us to the Company.
- (20) If the subscriber is more than one person, the obligations of the subscriber shall be joint and several and the agreements, representations, warranties and acknowledgments herein contained shall be deemed to be made by and be binding upon each such person and his respective heirs, executors, administrators, successors, legal representatives and assigns.
- (21) If I am / we are a segregated portfolio company, series company or similar company or other similar form of organisation (including, inter alia, a trust or contractual arrangement), I / we agree, represent and warrant that each agreement, representation and warranty in this Application Form is made, true and correct with respect to both the Company or other organisation and each, cell, portfolio, series or other similar part or account.
- (22) I / We undertake and agree that I / we will not at any time, unless such action is recommended by the Directors, whether before, during or after the time which I / we hold Participating Shares of the Fund, apply to or petition any court for, or take any other action to commence, the winding up and/or dissolution of the Fund.
- (23) I / We acknowledge and agree that in the event that any dispute or controversy arises between me / us and the Company, or between me / us and the Investment Manager and/or any of its affiliates that McCann Fitzgerald represents, then I / we agree that McCann Fitzgerald may represent the Company or such Investment Manager and/or their respective affiliates in any such dispute or controversy to the fullest extent permitted by applicable law, regulation or professional rules in the relevant jurisdictions and I / we hereby consent to such representation.
- (24) I / We agree to notify the Company promptly of any changes in the foregoing representations. I / We further agree that the representations and warranties made herein will be deemed to be reaffirmed by me / us at any time I / we make an additional investment in the Fund and the act of making such additional investments will be evidence of such reaffirmation. I / We acknowledge that the Company may from time to time establish entities of investment or other purposes. I / We agree that the representations made herein as well as any notifications or reaffirmations I / we make may be relied upon by such entities in the event that interests in such entities are distributed to me / us by the Company as part of a dividend, distribution, redemption proceeds payment or otherwise as if such representations were made directly to such entity.
- (25) I / We confirm that no invitation to subscribe for Participating Shares has been made to me / us in Ireland.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

(26) I / We agree that this Application Form shall be governed by the laws of and subject to the non-exclusive jurisdiction of the courts of Ireland.

### (27) DATA PROTECTION

I / We acknowledge that my / our data will be processed in accordance with the Data Protection Acts 1988 to 2003 and any other applicable legislation or regulations implementing Directive 95/46/EC, 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. I / We acknowledge receipt of, and have read and agree to, the Data Protection Notice attached hereto as **Appendix C**.

(28) Shareholders should note that management fees may be charged to the capital of the Fund. Thus, on redemption of holdings, shareholders may not receive back the full amount invested.

### (29) PRIIP-KID AND/OR UCITS-KIID ACKNOWLEDGEMENT

Pursuant to the UCITS directive, I / we acknowledge that the Fund is required to provide me / us with access to the relevant PRIIP-KID and/or UCITS-KIID prior to investment. I / We hereby acknowledge and understand that the PRIIP-KID and/or the UCITS-KIID is not a financial promotion. I / We hereby acknowledge and understand that the information is required by law to help me / us understand the nature and risks of investing in the relevant fund. I / We hereby accept that updates to the Prospectus, the Supplement and the PRIIP-KID and/or the UCITS-KIID can be provided by email.

I / We hereby confirm that for any subsequent investments I / we will obtain and read the latest version of the appropriate PRIIP-KID and/or UCITS-KIID prior to each subscription. In the event that I am / we are acquiring shares on behalf of an underlying investor or pool of investors, I / We hereby confirm that I / we have provided each investor with a copy of the latest PRIIP-KID and/or UCITS-KIID and on an ongoing basis I / we will ensure that these and any new investor(s) will be provided with the current PRIIP-KID and/or UCITS-KIID for the relevant share class into which I am / we are investing on their behalf.

### (30) PROFESSIONAL INVESTOR CONFIRMATION

I / We hereby confirm that I am / we are a professional investor (as defined in the Securities and Futures Ordinance (Chapter 571 of the laws of Hong Kong) or in rules thereunder).

I / We acknowledge I / we do not have the benefit of certain provisions of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission because I am / we are a professional investor.

## 5. DECLARATION OF RESIDENCE OUTSIDE THE REPUBLIC OF IRELAND

---

Every applicant applying for Shares on the applicant's own behalf is hereby obliged to notify the Company or an agent of the Company appointed for this purpose, as the case may be, in writing if the applicant is or becomes resident or ordinarily resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the three preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the three preceding years of assessment.

Every applicant applying for Shares on behalf of another person is hereby obliged to notify in writing the Company or an agent of the Company appointed for this purpose, as the case may be, if the applicant is, or becomes, aware that any person who is beneficially entitled to any of those Shares may be resident or ordinarily resident in Ireland or may have become resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the three preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the three preceding years of assessment.

## 6. SOURCE OF WEALTH

---

Please indicate the source of wealth to be invested in the Fund. The Administrator reserves the right to request documentary proof, e.g. income statement, balance sheet, bank statement

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<input type="checkbox"/> Compensation Payment	<input type="checkbox"/> Salary or Bonus	<input type="checkbox"/> Profit from Sale of Property
<input type="checkbox"/> Investment Income (e.g. interest, dividends)	<input type="checkbox"/> Loan	<input type="checkbox"/> Gift (please specify below)
<input type="checkbox"/> Maturity of Insurance Policy or Fixed Term Investment	<input type="checkbox"/> Pension / Retirement Income	<input type="checkbox"/> Savings (please specify below)
<input type="checkbox"/> Sale of Business	<input type="checkbox"/> Profit from Sale of Investment	<input type="checkbox"/> Other (please specify below)
	<input type="checkbox"/> Inheritance / Distribution from Trust	

Where indicated, please specify in more detail:

### 7. SELF-CERTIFICATION FOR FATCA AND CRS

Please complete A or B.

#### A. Entity Self-Certification for FATCA and CRS

##### Instructions for completion and Data Protection notice.

The Company is 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 Account Holder'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, the applicant is 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 2018). Please note that in certain circumstances the Company may be legally obliged to share this information, and other financial information with respect to an Account Holder'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 the applicant has any questions about this form or defining the Account Holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or Common Reporting Standard ("CRS") please refer to the Irish Revenue or the Organisation for Economic Co-operation and Development ("OECD") website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

If any of the information below about the Account Holder's tax residence or FATCA / CRS classification changes in the future, please ensure that the Company is advised of these changes promptly.

Account holders that are Individuals or Controlling Persons should not complete this form and should complete the form entitled "B. Individual (including Controlling Persons) Self-Certification for FATCA and CRS".

(Mandatory fields are marked with an \*)

<b>*Section 1: ACCOUNT HOLDER IDENTIFICATION</b>	
*Account Holder Name (the "Entity"):	
*Country of Incorporation or Organisation:	
*Current (Resident or Registered) Address:	Number:
	Street:
	City, Town, State or Province:



# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<input type="checkbox"/> iv) Exempt Retirement Fund <input type="checkbox"/> v) Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners
<input type="checkbox"/> (III) <b>The Entity is a Certified Deemed Compliant Foreign Financial Institution.</b> (including a deemed compliant Financial Institution under Annex II of the IGA Agreement).  Indicate exemption:  _____
<input type="checkbox"/> (IV) <b>The Entity is a Non-Participating Foreign Financial Institution.</b>
<input type="checkbox"/> (V) <b>The Entity is an Excepted Foreign Financial Institution.</b>  Indicate exemption: _____
<input type="checkbox"/> (VI) <b>The Entity is a Trustee Documented Trust.</b> Please provide your Trustee's name and GIIN  Trustee's Name: _____  Trustee's GIIN: <div style="text-align: center; margin-top: 10px;"> <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"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div>
<b>3.4 Non-Financial Institutions (“NFFE”) under FATCA:</b> If the Entity is not a Financial Institution, please confirm the Entity’s FATCA classification below by ticking one of the below categories;
<input type="checkbox"/> (I) <b>Active (NFFE)</b>
<input type="checkbox"/> (II) <b>Passive (NFFE)</b> <input type="checkbox"/> i) <b>Passive (NFFE) with no Controlling Persons that are specified U.S Persons.</b> <input type="checkbox"/> ii) <b>Passive (NFFE) with Controlling Persons that are specified U.S Persons.</b> (If this box is ticked, please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and complete a “ <b>B. Individual (Including Controlling Persons) Self-certification for FATCA and CRS</b> ” form for each Controlling Person(s) as outlined in Section 6.2.
<input type="checkbox"/> (III) <b>Excepted (NFFE)</b>
<input type="checkbox"/> (IV) <b>Direct Reporting (NFFE)</b> Please provide your GIIN:  <div style="text-align: center; margin-top: 10px;"> <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"/> . <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div>

<b>*Section 4: CRS DECLARATION OF TAX RESIDENCY</b> 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 (“TIN”)). Please refer to the OECD CRS Web Portal for the automatic exchange of information (“ <b>AEOI</b> ”) for more information on Tax Residence and TIN’s.  <a href="http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759">http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759</a>
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.  <b>NOTE:</b> 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)

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

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 above.

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 OECD 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 "B. Individual (including Controlling Persons) Self-Certification for FATCA and CRS" form 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:

- i) Government Entity
- ii) International Organisation
- iii) Central Bank
- iv) Broad Participation Retirement Fund
- v) Narrow Participation Retirement Fund
- vi) Pension Fund of a Governmental Entity, International Organization, or Central Bank
- vii) Exempt Collective Investment Vehicle
- viii) Trust whose trustee reports all required information with respect to all CRS Reportable Accounts
- ix) Qualified Credit Card Issuer
- x) 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 institution ("NFE") 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.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<input type="checkbox"/> (I) <b>Active NFE</b> – 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:
<input type="checkbox"/> (II) <b>Active NFE</b> – 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:  Please provide details of the securities market on which the Entity is regularly traded:
<input type="checkbox"/> (III) <b>Active NFE</b> – a Government Entity or Central Bank	
<input type="checkbox"/> (IV) <b>Active NFE</b> – an International Organisation	
<input type="checkbox"/> (V) <b>Active NFE</b> – other than those listed in I, II, III or IV above. (for example, a start-up NFE or a non-profit NFE)	
<input type="checkbox"/> (VI) <b>Passive NFE</b> – If this box is ticked please also complete <b>Section 6.1</b> for each of the Controlling Person(s) of the Entity and a separate “ <b>B. Individual (Including Controlling Persons) Self-certification for FATCA and CRS</b> ” for as indicated in Section 6.2 for each Controlling Person(s)	

**\*Section 6: CONTROLLING PERSONS**

Please note that each Controlling Person must complete a separate “**B. Individual (Including Controlling Persons) Self-certification for FATCA and CRS**” 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 “**B. Individual (Including Controlling Persons) Self-certification for FATCA and CRS**” form for each Controlling person as per Section 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 “B. 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 Account Holder 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

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

which the Account Holder 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.

<b>*Authorised Signature(s):</b>	
<b>*Print Name(s):</b>	
<b>*Capacity in which declaration is made:</b>	
<b>*Date: (dd/mm/yyyy):</b>	

### **B. Individual (including Controlling Persons) Self-Certification for FATCA and CRS**

#### **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 Account Holder’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 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an Account Holder’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 Account Holder’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 the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

If any of the information below about the Account Holder’s tax residence or FATCA / CRS classification changes in the future, please ensure that we are advised of these changes promptly.

Account Holders that are Entities should not complete this form and should complete the form entitled “**A. Entity Self-Certification for FATCA and CRS**”.

Please note that where there are joint Account Holders **each Account Holder** is required to complete a separate “**B. Individual (including Controlling Persons) Self-Certification for FATCA and CRS**” form.

**Section 1, 2, 3 and 5 must be completed by all Account Holders or Controlling Persons.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity Account Holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

(Mandatory fields are marked with an \*)

<b>*Section 1: ACCOUNT HOLDER / CONTROLLING PERSON IDENTIFICATION</b>	
<b>*Account Holder / Controlling Person Name:</b>	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<b>*Current Residential Address:</b>	Number:
	Street:
	City, town, State, Province or County:
	Postal / ZIP Code:
	Country:
<b>Mailing address (if different from above):</b>	Number:
	Street:
	City, town, State, Province or County:
	Postal / ZIP Code:
	Country:
<b>*Place and Date of Birth:</b>	*Town or City of Birth:
	*Country of Birth:
	*Date of Birth:

**\*Section 2: FATCA DECLARATION OF U.S. CITIZENSHIP OR U.S. RESIDENCE FOR TAX PURPOSES**

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

(a) I / We confirm that **I am / we are** a U.S. citizen and/or resident in the U.S. for tax purposes and my / our U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

U.S. TIN: \_\_\_\_\_

(b) I / We confirm that **I am / we are not** a U.S. citizen or resident in the U.S. for tax purposes.

**\*Section 3: COMMON REPORTING STANDARD (CRS) DECLARATION OF TAX RESIDENCY / RESIDENCIES**

Please confirm all Tax Residencies.

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated TIN). For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal.

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

**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

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

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 TIN(s) 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 4: TYPE OF CONTROLLING PERSON**

**ONLY** to be completed by an individual who is a Controlling Person of an entity which is a Passive NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

For joint or multiple Controlling Person(s) please complete a separate “**B. Individual (Including Controlling Persons) Self-Certification for FATCA and CRS**” form for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you / the Account Holder by ticking the appropriate box.	Entity Name
<input type="checkbox"/> Controlling Person of a legal person – control by ownership	
<input type="checkbox"/> Controlling Person of a legal person – control by other means	
<input type="checkbox"/> Controlling Person of a legal person – senior managing official	
<input type="checkbox"/> Controlling Person of a trust – settlor	
<input type="checkbox"/> Controlling Person of a trust – trustee	
<input type="checkbox"/> Controlling Person of a trust – protector	
<input type="checkbox"/> Controlling Person of a trust – beneficiary	
<input type="checkbox"/> Controlling Person of a trust – other	
<input type="checkbox"/> Controlling Person of a legal arrangement (non-trust) – settlor-equivalent	
<input type="checkbox"/> Controlling Person of a legal arrangement (non-trust) – trustee-equivalent	
<input type="checkbox"/> Controlling Person of a legal arrangement (non-trust) – protector- equivalent	
<input type="checkbox"/> Controlling Person of a legal arrangement (non-trust) – beneficiary equivalent	
<input type="checkbox"/> Controlling Person of a legal arrangement (non-trust) – other-equivalent	

**\*Section 5: DECLARATION AND UNDERTAKINGS**

I / We declare 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 Account Holder 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 Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I / We undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<b>*Authorised Signature(s):</b>	
<b>*Print Name(s):</b>	
<b>*Capacity (if Controlling Person):</b>	
<b>*Date: (dd/mm/yyyy):</b>	

### DATA PROTECTION - CUSTOMER INFORMATION NOTICE:

The CRS, formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the 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>

## 8. INTERMEDIARY INFORMATION

General information on the intermediary / distributor (mandatory if the investor submits this Application Form via an intermediary)

<b>Intermediary Name:</b>	
<b>Registered Office Address:</b>	
<b>Include Intermediary Company Stamp here if available:</b>	
<b>Correspondence Address (if different):</b>	
<b>Contact Person:</b>	
<b>Telephone Number (include country code):</b>	
<b>Email Address:</b>	
<b>Is the Intermediary regulated (tick the appropriate box):</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>If 'Yes', please provide name of Regulatory Authority and Regulatory Number:</b>	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### 9. SIGNATURES

To be valid, this Application Form must be signed by the applicant(s) below. Where there is more than one applicant, each person must sign. If the applicant is an entity, two authorised signatories must sign, and their names and sample signatures must appear on the company's List of Authorised Signatures. If the Application Form is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

I / We declare (as the registered Account Holder or 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 undertake to advise the recipient promptly and provide an updated form where any change in circumstance occurs, which causes any of the information contained in this form to be incorrect.

#### Signature(s) of Applicant(s) or Authorised Person(s) (all applicants must sign)

1<sup>st</sup> Applicant Name \_\_\_\_\_ Signature \_\_\_\_\_ Date (dd/mm/yyyy) \_\_\_\_\_

2<sup>nd</sup> Applicant Name \_\_\_\_\_ Signature \_\_\_\_\_ Date (dd/mm/yyyy) \_\_\_\_\_

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### APPENDIX A:

#### SEI INVESTMENTS – GLOBAL FUND SERVICES LIMITED CUSTOMER DUE DILIGENCE PROGRAMME

SEI Investments – Global Fund Services Limited (“SEI GFSL”) is based and incorporated in Dublin, Ireland. SEI GFSL is regulated by the Central Bank of Ireland (www.centralbank.ie) in respect of our conduct of all our financial business activities and fall under the definition of a ‘Designated Person’ under the terms of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended) (the “Act”).

SEI GFSL has policies and procedures in place to verify the identity of all applicants in all Funds that SEI GFSL administer in accordance with the Act.

An outline summary of the customer due diligence verification documentation that SEI GFSL is required to obtain for various entity types investing in the Funds under its administration is listed in **Appendix A-1**.

**NOTE:** Some documents received must be either originals or independently certified copies of originals, where required this will be indicated. Example of parties entitled to certify documents as true copies are: a practising solicitor / lawyer, a notary public, an embassy / consular official, a practising chartered or certified accountant.

The certification must be made on each page of the document provided as proof of identification. The following information regarding the certifier must also be provided: name, company, role, professional designation, business address, contact number, printed name, original signature and date of certification.

*All documents must be clear, legible and in English. All certified copies to be sent by post or courier. Fax or other copies cannot be accepted.*

**Redemption/Distribution payments will be withheld to investors until all necessary Anti-Money Laundering (“AML”) documentation has been received and the investor has been verified following completion of all AML checks.**

**Please note that SEI GFSL reserves the right to apply enhanced customer due diligence measures to any investor(s) where it deems the situation warrants the approach or may request further information as it deems necessary as part of its AML verification process.**

If you have any queries, please contact us at the following:

SEI Investments – Global Fund Services Limited.

Attn: AML Department  
Styne House  
Upper Hatch Street  
Dublin 2, Ireland  
Phone: +353 1 638 2630

### APPENDIX A-1

Please see the below table detailing what is typically requested for the most common Investor entity types.

Entity Type	AML Documents Required*	
	Medium Risk	High Risk
<b>Individual</b>	<ul style="list-style-type: none"> <li>1 Copy photo ID (copy of passport, drivers licence or national ID card) **</li> <li>2 Copy of proof of residential address verification (utility bill, bank or mortgage statement) ***</li> </ul>	<ul style="list-style-type: none"> <li>1 Certified copy of photo ID</li> <li>2 Two certified proofs of residential address verification</li> <li>3 For PEP investors a source of wealth &amp; source of funds confirmation</li> </ul>
<b>Joint Account</b>	1 As per the above for each Account Holder	1 As per the above for each Account Holder
<b>Corporation</b>	<ul style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy of certificate of incorporation or equivalent constituting document</li> <li>3 Copy of memorandum and articles of association or equivalent document</li> <li>4 List of directors</li> <li>5 Verify the identity of two directors or one director and one authorised signatory</li> <li>6 Identify the beneficial owner(s) who hold an ownership interest or controls of more than 25%</li> </ul>	<ul style="list-style-type: none"> <li>All documents required under Medium Risk</li> <li>1 Certified organisation structure chart</li> <li>2 Certified certificate of incorporation or equivalent formation document</li> <li>3 Certified memorandum and articles of association or equivalent</li> <li>4 Certified list of directors</li> <li>5 Certified list of beneficial owner(s)</li> <li>6 Verify identify the beneficial owner(s) who hold an ownership interest or controls of more than 25%</li> </ul>

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

		7 For PEP investors a source of wealth & source of funds confirmation
<b>Trust</b>	<ol style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy of trust deed</li> <li>3 Identify all settlors, donor and protectors</li> <li>4 Identify all trustees</li> <li>5 Verify the identity of two trustees / protectors or one trustee / protector and one authorised signatory</li> <li>6 Identify all beneficial owner(s) who are entitled to a vested interest of the trust assets</li> </ol>	<p>All documents required under Medium Risk</p> <ol style="list-style-type: none"> <li>1 Certified organisation structure chart</li> <li>2 Certified copy of trust deed</li> <li>3 Verify identity of trustee(s) / settlor(s) / donor(s) / protector(s)</li> <li>4 Certified list of beneficial owner(s)</li> <li>5 Verify identify of all beneficial owners who are entitled to a vested interest of the trust assets</li> <li>6 For PEP investors a source of wealth &amp; source of funds confirmation</li> </ol>
<b>Partnership</b>	<ol style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy partnership agreement</li> <li>3 Identify all partners including name, address and percentage holdings</li> <li>4 Verify the identity of general partner or;</li> <li>5 Verify the identity of partner 1 &amp; partner 2 or authorised signatory</li> <li>6 Identify the beneficial owner(s) who control or own more than 25% of the share, profit or voting rights</li> </ol>	<p>All documents required under Medium Risk</p> <ol style="list-style-type: none"> <li>1 Certified organisation structure chart</li> <li>2 Certified copy of partnership agreement</li> <li>3 Certified list of partners</li> <li>4 Certified list of beneficial owner(s)</li> <li>5 Verify identify the beneficial owner(s) who control or more than 25% of the share, profit or voting rights</li> <li>6 For PEP investors a source of wealth &amp; source of funds confirmation</li> </ol>
<b>Limited Liability Company (“LLC”)</b>	<ol style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy certificate of formation or equivalent</li> <li>3 Copy of operating agreement or equivalent</li> <li>4 List of managing members</li> <li>5 Verify the identity of two managing members or one managing member and one authorised signatory</li> <li>6 Identify the beneficial owner(s) who hold an ownership interest of more than 25%</li> </ol>	<p>All documents required under Medium Risk</p> <ol style="list-style-type: none"> <li>1 Certified organisation structure chart</li> <li>2 Certified copy of certificate of formation or equivalent</li> <li>3 Certified copy of operating agreement or equivalent</li> <li>4 Certified List of managing members</li> <li>5 Certified list of beneficial owner(s)</li> <li>6 Verify the identity of the beneficial owner(s) who hold an ownership interest of more than 25%</li> <li>7 For PEP investors a source of wealth &amp; source of funds confirmation</li> </ol>
<b>Individual Retirement Account (“IRA”)</b>	<ol style="list-style-type: none"> <li>1 Confirmation of the pension plan, superannuation or similar scheme - copy of the scheme document</li> <li>2 Identify the individual in line with individual requirements as noted above</li> <li>3 Copy photo ID (copy of passport, drivers licence or national ID card) **</li> <li>4 Copy of proof of residential address verification (utility bill, bank or mortgage statement) ***</li> </ol>	<ol style="list-style-type: none"> <li>1 Certified constituting or formation document</li> <li>2 Certified copy of photo ID photo ID (copy of passport, drivers licence or national ID card) **</li> <li>3 Two certified proofs of residential address verification (utility bill, bank or mortgage statement) ***</li> <li>4 For PEP investors a source of wealth &amp; source of funds confirmation</li> </ol>
<b>Fund</b>	<ol style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy of the constituting document</li> <li>3 Confirmation if the entity conducting AML on the beneficial owner(s) is a credit or financial institution that is regulated for compliance with the requirements of Section 2 chapter 6 of CJA or;</li> <li>4 Verify the identity of two controllers or one controller and one authorised signatory</li> <li>5 Identify all beneficial owner(s) who hold an ownership interest or control of more than 25%</li> </ol>	Not applicable
<b>Pension Plan</b>	<ol style="list-style-type: none"> <li>1 Organisation structure chart</li> <li>2 Copy of the formation document of pension plan</li> <li>3 List of controllers / trustees or equivalent</li> <li>4 Verify the identity of two controllers or one controller and one authorised signer</li> </ol>	<p>All documents required under Medium Risk</p> <ol style="list-style-type: none"> <li>1 Certified organisation structure chart</li> <li>2 Certified copy of the formation document of the pension plan</li> <li>3 Certified list of controllers</li> </ol>

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

	<p>5 Identify the beneficial owner(s) who hold an ownership interest or control of more than 25%</p>	<p>4 Certified list of beneficial owner(s) 5 Verify identity of the beneficial owner(s) who hold an ownership interest or control of more than 25% <b>Or</b> 6 Verify identity of scheme administrator And &amp; Verify the identity of the entity conducting AML on the Scheme Investors. 7 For PEP investors a source of wealth &amp; source of funds confirmation</p>
<b>Schools, Colleges or Universities</b>	<p>1 Organisation structure chart 2 Copy of constitutional document 3 Identify the ownership of the educational body 4 List of controllers 5 Verify the identity of two controllers of one controller and one authorised signer 6 Identify the beneficial owner(s) who hold an ownership interest or control of more than 25% 7 Copy of audited financial statements</p>	<p>All documents required under Medium Risk 1 Certified organisation structure chart 2 Certified copy of constitutional document 3 Certified list of controllers 4 Certified list of beneficial owner(s) 5 Verify identity of the beneficial owner(s) who hold an ownership interest or control of more than 25% 6 Certified audited financial statements 7 For PEP investors a source of wealth &amp; source of funds confirmation</p>
<b>Public Body</b>	<p>1 Organisation structure chart 2 Copy of constituting or formation documents 3 Identify the home state authority of the public body 4 Identity of the ownership of the entity 5 List of controllers 6 Identify the beneficial owner(s) who hold an ownership interest or control of more than 25%</p>	<p>All documents required under Medium Risk 1 Certified organisation structure chart 2 Certified copy of constitutional or formation document 3 Certified list of controllers 4 Verify the identity of two controllers or one controller and one authorised signatory 5 Certified list of beneficial owner(s) 6 Verify the identity the beneficial owner(s) who hold an ownership interest or control of more than 25% 7 Certified copy of the most recent audited financial statements 8 For PEP investors a source of wealth &amp; source of funds confirmation</p>
<b>Regulated or Registered Charity / Not for Profit / Foundation</b>	<p>1 Organisation structure chart 2 Confirmation that the charity / not for profit / foundation is registered / regulated 3 List of controllers 4 Identify the beneficial owner(s) who hold an ownership interest or control of more than 25% 5 Copy of the audit financial statements</p>	
<b>Unregulated Charity / Not for Profit / Foundation</b>	<p>1 Organisation structure chart 2 Copy of the constituting or formation document 3 List of controllers 4 Verify the identify two controllers or one controller and one authorised signer 5 Identify the beneficial owner(s) who hold an ownership interest or control of more than 25% 6 Verify the beneficial owner(s) 7 Copy of audited financial statements</p>	<p>All documents required under Medium Risk 1 Certified organisation structure chart 2 Certified copy of constituting or formation document 3 Certified list of controllers 4 Certified list of beneficial owner(s) 5 Verify the beneficial owner(s) who hold an ownership interest or control of more than 25% 6 Certified copy of the audited financial statements 7 For PEP investors a source of wealth &amp; source of funds confirmation</p>

### NOTES TO THE TABLE

\* Subject to change in line with Irish regulatory requirements and relevant guidelines.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

\*\* Document must have signature, must be in date and have clear photo.

\*\*\* Document must be recent (under six months old), must match Application Form and must not be a C/O or PO Box Address.

### CERTIFICATION REQUIREMENTS

To the extent that copy document requires certification SEI GFSL accepts, but is not limited to, the following as suitable persons to certify documents:

- A practicing lawyer or solicitor; a practicing notary public; an embassy or consular official; a practicing chartered or certified accountant; a bank official from a low risk country; a regulated financial institution or regulated credit institution; a commissioner of oaths.
  
- A person is not considered appropriate to provide certification where he / she is:
  - Related to the subject;
  - Living at the same address as the subject; or
  - In a relationship with the subject.
  
- Certification of documents should include a statement to the effect that the original of the document was sighted and the certified document is a true copy of the original, or similar. The document should be dated and signed by the certifier clearly noting his / her contact details and his / her capacity including professional registration / license number where applicable.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### APPENDIX B

---

#### DEFINITION OF BENEFIT PLAN INVESTOR

“**Benefit Plan Investor**” is used as defined in the Plan Asset Rule (collectively defined by U.S. Department of Labor Regulation 29 C.F.R. §2510.3-101 and Section 3(42) of ERISA) and includes (i) any employee benefit plan subject to Part 4 of Title I of ERISA; (ii) any plan to which Code Section 4975 applies (which includes a trust described in Code Section 401(a) that is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account or annuity described in Code Section 408 or 408A, 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 (iii) any entity whose underlying assets include plan assets by reason of a plan’s investment in the entity (generally because 25 per cent. or more of a class of equity interests in the entity is owned by plans). An entity described in (iii) immediately above will be considered to hold plan assets only to the extent of the percentage of the equity interests in the entity held by Benefit Plan Investor. Benefit Plan Investor also include that portion of any insurance company’s general account assets that are considered “plan assets” and (except if the entity is an investment company registered under the 1940 Act) also include assets of any insurance company separate account or bank common or collective trust in which plans invest.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### APPENDIX C

#### DATA PROTECTION NOTICE

This notice sets out how **Vietnam Equity (UCITS) Fund** (the “**Fund**”), a sub-fund of DC Developing Markets Strategies plc will process personal information. (the “**Company**”)

Where your details are provided to the Company as a result of your investment, then the Company, acting as a data controller (“**Data Controller**”), may itself, or through a third-party service provider (“**Data Processor**”), process your personal information or that of your directors, officers, employees and/or beneficial owners. Such personal information will be held in confidence and processed in accordance with the Irish Data Protection Acts 1988 to 2018 and any other applicable legislation or regulations, the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and the Council of 27 April 2016) (“**GDPR**”), including any amendments thereto.

When processing your personal information, there may also be times when SEI Investments – Global Fund Services Limited (the “**Administrator**”), acting in its capacity as the Company’s Administrator, will act as a Data Controller.

In connection with this processing, please note the following:

#### **PURPOSES OF PROCESSING AND LEGAL BASIS FOR PROCESSING**

Your personal data may be processed by the Company or its Data Processors (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- Legal Basis: Performance of the contract
  - to facilitate the opening of your account with the Fund the management and administration of your holdings in the Fund and any related account on an on-going basis (the “**Services**”) which are necessary for the performance of your contract with the Company, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions; to update and maintain records and fee calculation;
  - to update and maintain records and fee calculation.
- Legal Basis: Compliance with a legal obligation to which the Company is subject, including but not limited to
  - carrying out anti-money laundering checks;
  - prevention of fraud, money laundering, terrorist financing, bribery, corruption;
  - prevention of the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Company’s procedures and the procedures of the Data Processors;
  - reporting of tax related information to tax authorities.
- Legal Basis: Pursuit of the Legitimate Interests of the Company
  - to improve the delivery of service (monitoring and recording of calls for quality, business analysis, training and related purposes);
  - to offer or market additional units of the Fund or other investment opportunities.

Where the pursuit of the legitimate interests of the Company is indicated above to be the legal justification relied upon to process your personal data, a balancing test has been carried out to weigh the legitimate interests of the Company against the potential risks posed to your interests, fundamental rights and freedoms as a data subject, and it has been determined that the risks posed to your interests, fundamental rights and freedoms as a data subject are extremely limited and are overridden by the right of the Company to pursue its legitimate interests.

Where the Data Controller or its delegates sends you marketing information, you have a right not to receive such information, and you can request not to receive such information by informing the Fund using the contact information in this Data Protection Notice.

#### **RETENTION PERIOD**

The Company and its Data Processors will retain your personal information for as long as required for the Company or its Data Processors to perform the Services or perform investigations in relation to the Services. The length of the retention period will be determined by such considerations as legal or regulatory obligations that require the Company or its Data Processors to retain your personal information, and applicable statutory limitation periods, whichever are longer.

#### **RECIPIENTS OF DATA**

The Company may disclose your personal information as follows:

- to its service providers, including Data Processors, and their affiliates, and other third party service providers engaged by the Company in order to process the data for the above mentioned purposes;
- to competent authorities (including tax authorities), courts and regulatory bodies as required by law or requested or to affiliates for internal

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

investigations and reporting.

### **INTERNATIONAL TRANSFER OF DATA**

The disclosure of personal information to the Data Processors and third parties set out above may involve the transfer of data to jurisdictions outside the European Economic Area (EEA). Any such transfers are made in accordance with the requirements of Articles 44 to 49 of the GDPR. Where such transfers are made to countries that do not have an adequacy decision in place, appropriate safeguards such as European Commission approved standard contractual clauses will be put in place or your consent will be obtained prior to the transfer.

### **DATA SUBJECT RIGHTS**

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information;
- Right to rectify your personal information;
- Right to restrict the use of your personal information (in certain specific circumstances);
- Right to request that your personal information is erased (in certain specific circumstances);
- Right to object to processing of your personal information (in certain specific circumstances);
- Right to data portability (in certain specific circumstances);
- Right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Company or its Data Processors infringes the GDPR.

The provision of your personal information to the Company is necessary in order to enter into the contract. You are not obliged to provide the Company with your personal information, however where the Company or its Data Processors require your personal information to perform the contract, or to comply with the Company's legal obligations, failure to provide this information means that the Company may not be able to accept you as an investor in the Fund.

### **HOW TO CONTACT US**

If you have any questions about our use of your personal information, please contact us by email at [DPCC.dpservices@waystone.com](mailto:DPCC.dpservices@waystone.com).

DC Developing Market Strategies plc  
35 Shelbourne Road,  
Ballsbridge,  
Dublin D04 A4EO,  
Ireland

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### APPENDIX D

#### INVESTOR AML QUESTIONNAIRE

##### **TO BE COMPLETED BY ALL INVESTORS**

For each registered investor account please ensure that:

1. All relevant sections are completed in full;
2. The detail is typed or written in capital letters; and
3. The questionnaire is signed by at least one current authorised person.

The signed completed questionnaire along with a current authorised signatory list for non-individual investor accounts is to be emailed to [dublinsaml@seic.com](mailto:dublinsaml@seic.com)

Should you have any question in relation to the completion of any section of the AML questionnaire please contact the AML team by email [dublinsaml@seic.com](mailto:dublinsaml@seic.com) or by phone at +353 1 638 2630.

In the event that any aspect of the registered investor detail or completed AML questionnaire should change in the future please ensure that this updated information is provided to the AML team promptly so that the current detail on the registered investor account can be accurately maintained.

##### **Section A: REGISTERED INVESTOR DETAIL**

This section is to be completed by all investors.

Fund Name:	
Registered Investor Number (for an existing investor):	
Registered Investor Name:	

##### **AUTHORISED SIGNATURE**

###### **I / We hereby declare that:**

1. I am / we are authorised on the above referenced registered investor account;
2. As applicable, the attached current authorised signatory list confirms my / our authorisation on the registered investor account;
3. I / we have completed the AML questionnaire (**Section A to Section H** inclusive) as applicable to the above referenced registered investor account; and
4. The detail contained in this AML questionnaire is true, accurate and complete to the best of my / our knowledge.

Signed by: _____	Signed by: _____
Print Name: _____	Print Name: _____

##### **Section B: INVESTMENT DETAIL**

This section is to be completed by all investors. Please complete parts 1 to 5 below.

###### **(1) I / We confirm that the investment is:**

Please tick the appropriate box.

- For a private individual / joint account investment. (\* If this box is ticked please complete **Section D**.)
- For a non-individual / entity investment. (\* If this box is ticked please complete **Section E**.)

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<p><b>(2) I / We confirm that the investment is:</b> Please tick the appropriate box.</p> <p><input type="checkbox"/> Made on my / our own behalf.  <input type="checkbox"/> Made on behalf of a third party or underlying beneficiary / client. (* If this box is ticked please complete <b>Section F.</b>)  <input type="checkbox"/> Made on behalf of a trust or similar legal arrangement that has discretionary beneficiaries</p>	
<p><b>(3) I / We confirm that the investment:</b> Please tick the appropriate box.</p> <p><input type="checkbox"/> Consists of bearer shares / instruments.  <input type="checkbox"/> Does not consist of bearer shares / instruments.</p>	
<p><b>(4) I / We confirm that the source of wealth* for the investment derives from:</b> Please tick the appropriate box.</p> <p>(* The source of wealth refers to the activities that have generated the total net worth of the customer i.e. the activities that produced the customer's funds and property.)</p> <p><input type="checkbox"/> Employment income  <input type="checkbox"/> Sale of real estate  <input type="checkbox"/> Sale of securities investment(s)  <input type="checkbox"/> Inheritance  <input type="checkbox"/> Other (* If this box is ticked, please provide details in below.)</p>	
<p><b>(5) I / We confirm that the source of funds* for the investment derives from:</b> Please tick the appropriate box.</p> <p>(* The source of funds refers to the origin and means of transfer of funds that are involved in the transaction e.g. the customer's occupation, business activities, proceeds of sale etc.)</p>	
<p><input type="checkbox"/> Employment income (* If this box is ticked, please detail (a) and (b) below.)</p>	
(a) Job description and location; and	
(b) The nature / industry of the employer's business.	
<p><input type="checkbox"/> Sale of real estate (*If this box is ticked, please detail (a) and (b) below.)</p>	
(a) The amount and date that the property was sold; and	
(b) The location of the real estate.	
<p><input type="checkbox"/> Sale of securities investment(s) (*If this box is ticked, please detail (a) and (b) below.)</p>	
(a) The type of security / securities sold; and	
(b) The date(s) and the sale amount(s) for the security / securities sold.	
<p><input type="checkbox"/> Inheritance (*If this box is ticked, please detail (a) and (b) below.)</p>	
(a) The amount(s) and date(s) that the inheritance was received; and	
(b) The relation to the benefactor.	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

<input type="checkbox"/> Other (*If this box is ticked, please detail (a), (b) and (c) below.)	
(a) The nature including jurisdiction of the source of funds;	
(b) The relevant date(s) associated; and	
(c) The amount(s) received.	

**(6) I / We confirm that the investment is associated with the following industry:**  
Please tick the appropriate box.

(\* The source of funds refers to the origin and means of transfer of funds that are involved in the transaction e.g. the customer's occupation, business activities, proceeds of sale etc.)

- Arms, trade and defence
- Arts or precious metals
- Construction
- Extractive industries
- Gas or petrol
- Money service, cash intensive businesses or casino
- Pharmaceutical and healthcare
- Public procurement
- Other (\* If this box is ticked, please provide details in the below box.)

**Section C: INVESTMENT ACTIVITY**  
This section is to be completed by all investors. Please complete parts 1 to 5 below.

**(1) The best estimate of current total net assets:**  
Please tick the appropriate box.

- Up to EUR 500,000
- EUR 500,000 to EUR 1,000,000
- EUR 1,000,000 to EUR 5,000,000
- EUR 5,000,000 to EUR 10,000,000
- EUR 10,000,000 to EUR 50,000,000
- Over EUR 50,000,000

**(2) The investment time horizon\*:**  
Please tick the appropriate box.

(\* This is the minimum expected period of time for this investment.)

- Under 1 year
- Between 1 year and 2 years
- Between 2 years and 5 years
- More than 5 years

**(3) The expected total amount to be invested:**  
Please tick the appropriate box.

- Up to EUR 500,000
- EUR 500,000 to EUR 1,000,000
- EUR 1,000,000 to EUR 5,000,000
- EUR 5,000,000 to EUR 10,000,000
- EUR 10,000,000 to EUR 50,000,000
- Over EUR 50,000,000

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

### (4) The expected frequency of future investment transactions:

Please tick the appropriate box.

- Daily
- Weekly
- Monthly
- Quarterly
- Annually
- Other\*

\* If "Other" above is ticked please specify the detail of the expected frequency:

### (5) The expected average amount per future investment transaction:

Please tick the appropriate box.

- Up to EUR 500,000
- EUR 500,000 to EUR 1,000,000
- EUR 1,000,000 to EUR 5,000,000
- EUR 5,000,000 to EUR 10,000,000
- EUR 10,000,000 to EUR 50,000,000
- Over EUR 50,000,000

### Section D: INDIVIDUAL / JOINT ACCOUNT DETAIL

This section is to be completed by the registered private individual or joint account investor. Please detail each individual named on the registered investor account.

#### (1) First individual

First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	
Contact detail:	
Telephone number:	
Email address:	

#### (2) Second individual

First name:	
-------------	--

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	
Contact detail:	
Telephone number:	
Email address:	

### **Section E: NON-INDIVIDUAL / ENTITY DETAIL**

This section is to be completed by the registered non-individual / entity investor.

#### **PART (A): THE NON-INDIVIDUAL / ENTITY DETAIL**

##### **(1) Information**

Entity name:	
Registered address:	
Street number / name:	
Town / city:	
Post code / IP code:	
Country:	
Contact detail:	
Telephone number:	
Email address:	
Date of formation:	
Place of formation:	
Tax identification number:	
Business purpose:	
Financial year end:	

##### **(2) Entity type**

Please tick the appropriate box.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

- A body corporate
- A charity, not-for-profit or foundation
- A club or society
- A collective investment scheme
- A credit institution investing on its own behalf
- A financial institution investing on its own behalf
- A limited liability company
- An intermediary investing on behalf of a third party / client
- A partnership
- A pension
- A public body
- A school, college or university
- A Trust
- Other (\* If this box is ticked, please provide details in the below box.)

### **PART (B): THE CONTROLLER(S) DETAIL**

Please detail each controller of the registered investor account

#### **(1) First individual**

First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	

#### **(2) Second individual**

First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Post code / IP code:	
Country:	
<b>(3) Third individual</b>	
First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	
<b>PART (C): THE BENEFICIAL OWNER(S) DETAIL</b>	
Please detail each beneficial owner* of the registered investor account.	
(* The definition of a beneficial owner is contained in <b>Appendix D-1</b> .)	
<b>(1) First individual</b>	
First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	
First name:	
<b>(2) Second individual</b>	
First name:	

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	
Residential address:	
Street number and name:	
Town / city:	
Post code / IP code:	
Country:	
First name:	
<b>(3) Third individual</b>	
First name:	
Second name:	
Date of birth: (dd/mm/yyyy)	
Nationality:	
Tax identification number:	
Occupation:	

### Section F: INTERMEDIARY / NOMINEE INVESTMENT

This section is to be completed by an intermediary / nominee who invests on behalf of an underlying beneficiary / client. Please complete **Parts 1 to 4**.

**(1) We confirm that the underlying beneficiary / client is:**

Please tick the appropriate box.

- An individual
- An entity
- A pooled account representing a number of underlying beneficiaries / clients

**(2) We confirm that:**

Please tick the appropriate box.

- We exercise control over the investment.
- We are acting pursuant to specific instruction from the underlying beneficiary / client.

**(3) We confirm that:**

Please tick the appropriate box.

- We apply customer due diligence and record keeping requirements that are consistent with those of the AML directive (EU) 2015/849 and we are supervised for compliance with these requirements.
- We do not apply customer due diligence and record keeping requirements that are consistent with those of the AML directive (EU) 2015/849.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

**(4) AML regulation:**

Please insert the following details into the boxes below.

Governing AML regulation:	
AML regulator name:	
AML regulator location:	

**Section G: SANCTIONS**

This section is to be completed by all investors. Please tick the appropriate box and fill in the detail as required.

**(1) Sanction / embargo:**

Please tick the appropriate box.

I / We confirm that

- (a) I / we;  
 (b) a person in control of; or  
 (c) a person owning beneficial interest in this investment
- is / are **NOT** subject to a sanction or embargo.

I / We confirm that

- (a) I / we;  
 (b) a person in control of; or  
 (c) a person owning beneficial interest in this investment
- is / are subject to a sanction or embargo.

\* If this box is ticked, please provide details in the below boxes.

a) The name of the person / party sanctioned;	
b) The detail of the sanction / embargo enforced;	
c) The relationship of the person / party sanctioned to the registered investor; and	
d) Any other relevant detail.	

**Section H: POLITICALLY EXPOSED PERSON**

This section is to be completed by all investors. Please tick the appropriate box and fill in the detail as required.

**(1) POLITICALLY EXPOSED PERSON:**

Please tick the appropriate box.

I / We confirm that

- (a) I / we;  
 (b) a person in control of; or  
 (c) a person owning beneficial interest in this investment
- is / are **NOT** a politically exposed person or an immediate family member or a close associate of a politically exposed person as defined in **Appendix D-2**.

I / We confirm that

- (a) I / we;  
 (b) a person in control of; or  
 (c) a person owning beneficial interest in this investment
- is / are a politically exposed person or an immediate family member or a close associate of a politically exposed person as defined in **Appendix D-2**.

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

* If this box is ticked, please provide details in the below boxes.	
a) The name of the politically exposed person(s), immediate family member(s) or close associate(s);	
b) The position held by the politically exposed person(s), immediate family member(s) or close associate(s);	
c) The relationship of the politically exposed person(s), immediate family member(s) or close associate(s) to the registered investor; and	
d) Any other relevant detail for the politically exposed person(s), immediate family member(s) or close associate(s).	

### APPENDIX D-1

A **beneficial owner** means 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:

#### **BODY CORPORATE**

In the case of a body corporate, a beneficial owner is:

- (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.

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).

#### **PARTNERSHIP**

In the case of a partnership, a beneficial owner is any individual who:

- (i) ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25% share of the capital or profits of the partnership or more than 25% of the voting rights in the partnership, or
- (ii) otherwise controls the partnership.

#### **TRUST**

A. In the case of a trust, a beneficial owner means any of the following:

- (i) any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;
- (ii) in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in paragraph (a), the class of individuals in whose main interest the trust is set up or operates;
- (iii) any individual who has control over the trust;
- (iv) the settlor;
- (v) the trustee;
- (vi) the protector.

B. For the purposes of and without prejudice to the generality of subsection A above, an individual who is the beneficial owner of a body corporate that:

- (i) is entitled to a vested interest of the kind referred to in subsection (A)(i), or
- (ii) has control over the trust,

is taken to be entitled to the vested interest or to have control over the trust (as the case may be).

# DC Developing Market Strategies PLC - Vietnam Equity (UCITS) Fund –

## APPLICATION FORM

- C. In this section “control”, in relation to a trust, means a power (whether exercisable alone, jointly with another person or with the consent of another person) under the trust instrument concerned or by law to do any of the following:
- (i) dispose of, advance, lend, invest, pay or apply trust property;
  - (ii) vary the trust;
  - (iii) add or remove a person as a beneficiary or to or from a class of beneficiaries;
  - (iv) appoint or remove trustees;
  - (v) direct, withhold consent to or veto the exercise of any power referred to in paragraphs (i) to (iv).

### DECEASED PERSONS

Beneficial owner, in relation to an estate of a deceased person in the course of administration, means the executor or administrator of the estate concerned.

### APPENDIX D-2

A **politically exposed person** is defined as an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official):

- (i) A member of the administrative, management or supervisory body of a state-owned enterprise; or
- (ii) A specified official – being any of the following officials, including any such officials in an institution of the European Communities or an international body:
  - a head of state, head of government, government minister or deputy or assistant government minister;
  - a member of a parliament or similar legislative body;
  - a member of the governing body of a political party;
  - a member of a supreme court, constitutional court or other high-level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
  - a member of a court of auditors or of the board of a central bank;
  - an ambassador, chargé d’affaires or high-ranking officer in the armed forces;
  - a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

A **close associate** of a politically exposed person includes any of the following persons:

- (i) any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the politically exposed person;
- (ii) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the politically exposed person.

An **immediate family member** of a politically exposed person includes any of the following:

- (i) any spouse of the politically exposed person;
- (ii) any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides;
- (iii) any child of the politically exposed person;
- (iv) any spouse of a child of the politically exposed person;
- (v) any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides;
- (vi) any parent of the politically exposed person;
- (vii) any other family member of the politically exposed person who is of a prescribed class.