

**SARACEN GROWTH FUND**

**APPLICATION FORM**

**SARACEN INVESTMENT FUNDS ICVC**

**Important** - Please complete using **BLOCK CAPITALS** and return this form to your Independent Financial Adviser or send to: **SARACEN INVESTMENT FUNDS ICVC**, c/o Daiwa Europe Fund Managers Ireland Limited, Block 5, Harcourt Centre, Harcourt Road, Dublin 2, Ireland. **Telephone Number: +353 1 603 9921, Facsimile Number: +353 1 647 5830, E-mail address: [DaiwaSHSDealing@daiwagas.com](mailto:DaiwaSHSDealing@daiwagas.com).**

If this Application Form is sent by facsimile or e-mail, the original must be sent by post to Daiwa **immediately**.

**SECTION A : PERSONAL OR CORPORATE DETAILS**

1st Applicant (this will be the registered address in all cases)

**TITLE** [REDACTED] **SURNAME** [REDACTED]

**FULL FORENAMES** [REDACTED]

Or :

If other title [REDACTED]

(e.g. trust or corporate investor), name of registered holder

**ADDRESS** [REDACTED]

[REDACTED] **POSTCODE** [REDACTED]

**TEL NO. (Day)** [REDACTED] **TEL NO. (Evening)** [REDACTED]

**NATIONAL INSURANCE No.** [REDACTED]

**E-MAIL ADDRESS** [REDACTED]

Account designation, or if your investment is on behalf of a child, please write the child's initials here [REDACTED]

**SECTION B : JOINT HOLDERS**

	2nd	3rd	4th
<b>SURNAME (Mr/Mrs etc)</b>	[REDACTED]	[REDACTED]	[REDACTED]

<b>FULL FORENAMES</b>	[REDACTED]	[REDACTED]	[REDACTED]
-----------------------	------------	------------	------------

**SECTION C : INVESTMENT DETAILS**

**SGF ACCUMULATION A SHARES** (SEDOL 0571108)  
Please note that the minimum initial investment is £1,000 and the minimum additional investment is £250

I/we wish to invest

£

**SGF ACCUMULATION B SHARES** (SEDOL 0571119)  
Please note that the minimum initial investment is £250,000 and the minimum additional investment is £10,000

I/we wish to invest

£

Subscription monies must be paid by bank transfer to the bank account details below. All subscription monies must be received in the relevant subscription account immediately in cleared funds by relevant Settlement Date. The Settlement Date is on or before three Business Days after the Dealing Day.

**For Private Investors, you must authorise payment from a bank account in your own name, on completion of this form.**

Company Bank Account Details - Currency GBP (Pound Sterling)

Bank Name: Lloyds TSB  
Bank Address: High Street, Exeter.  
Chaps Sort Code: 309314  
SWIFT I.D.: LOYDGB21073  
Account Name: Saracen Inv Funds Ltd  
Account Number: 04586533  
Reference\*

\* The applicant's name should be placed in the Reference field.

**SECTION D : AGENTS COMMISSION**

**Independent Financial Advisers Stamp**

SP - .././..

**SRO**

**MEMBER NO.**

**FSA REG. NO.**

**TEL NO.**

For arranging this investment  
commission will be paid to

of

£

We confirm that we have a full client agreement specifying that cancellation rights will not apply with the applicant(s) named on this form.

Signature

Date

**SECTION E : FOR NOMINEE ACCOUNTS ONLY**

**INVESTOR INFORMATION**

**FORMATION DATE OF ENTRY IF APPLICABLE**

**SHARES ISSUED TO THE INVESTOR ARE TO BE REGISTERED  
IN THE BOOKS OF THE FUND IN THE NAME OF :**

**(insert name & address)**

*(Registration can be made in the name of a nominee. It can also be made  
in the name of tenants-in-common (with no rights of survivorship) in which  
all tenants must sign this Subscription Agreement)*

**The Investor hereby warrants and represents that as a corporation, partnership, trust or other legal entity, the  
Investor is:**

**ORGANISED UNDER THE LAWS OF:**

**HAS ITS PRINCIPAL PLACE OF BUSINESS IN:**

**HAS ITS REGISTRATION NUMBER OF:**

**(e.g. FSA registration number)**

**IF AN EXISTING SHAREHOLDER:**

**Any agents code**

**Any shareholder account number**

## **SECTION F : DECLARATION**

Instructions may be sent by fax or e-mail (where the e-mail relates to an application form it should contain a scanned copy of the completed and signed the application form). The Administrator is authorised to act on any facsimile or e-mail instructions without verification which it in its sole discretion believes emanates from a Shareholder and it shall not be liable for and will not be liable for any failure in acting on any of the Instructions by reason of breakdown, delay or failure of transmission or communication facilities or breakdown of or error in transmission or communication for any other reason.

Each applicant for units acknowledges that neither fax nor e-mail is a secure means of communicating with or giving instructions to the Administrator and confirms that he/she is aware of the risks involved in communicating in this way and that a request to act on any instruction given by fax or e-mail is for his/her convenience only and he/she hereby indemnifies the Administrator against any claims and hold it harmless from all actions, proceedings, claims, loss, damage, costs (including without limitation, interest and legal fees), charges and expenses which may be brought against it/them or suffered or incurred by it/them and which shall have arisen either directly or indirectly out of or in connection with it/them accepting Instructions by fax or e-mail and acting thereon.

Each applicant hereby undertakes to immediately send the Administrator the original of the Instructions, and acknowledge that the non-receipt by the Administrator of such written confirmation shall in no way invalidate the authority or indemnity provided by the Shareholder.

The Company or the Administrator, acting on its behalf, may provide statements, reports and other communications relating to the Company and/or any investment in the Company, in electronic form, such as e-mail. E-mail messages may not be secure and may contain computer viruses or other defects, may not be accurately replicated on other systems, or may be intercepted, deleted or interfered with without the knowledge of the sender or the intended recipient. The Administrator makes no warranties in relation to these matters.

The Administrator reserves the right to intercept, monitor and retain e-mail messages to and from its systems as permitted by applicable law. If there are any doubts about the authenticity of an e-mail purportedly sent by the Company, or the Administrator, the recipient must contact the purported sender immediately.

### **Data protection**

It is acknowledged that personal information will be handled by the Administrator (as Data Processor on behalf of the Company) in accordance with the Irish Data Protection Acts 1988 to 2003. Information will be processed for the purposes of carrying out the services of Administrator, registrar and transfer agent of the Company and to comply with legal obligations including those under company law and anti-money laundering legislation.

The Administrator or the Company will disclose information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland or agents of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements.

Consent is given to the processing of information and disclosure of information as outlined above and to the Investment Manager and where necessary or in the Company's or the Administrator's legitimate interests, to any company in the Administrator's or the Investment Manager's group of companies or agents of the Administrator including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland.

### **EU Savings Directive**

Information relating to holding of shares in the fund, and/or details of income arising from such holdings may be subject to disclosure to any relevant tax authority in accordance with the terms of the EU Taxation of Savings Directive (2003/48/EC) (the "ESD") and consent is given to such disclosure by the Administrator or any person deemed to be a paying agent for the purposes of the ESD (the "Paying Agent"). The Administrator must be promptly advised of any amendments to information which may be relevant for the purposes of the ESD, including names, addresses, tax identification number and country of residence for tax purposes.

The Paying Agent will be indemnified against any and all loss, liability, cost and expenses (including without limitation legal fees, taxes and penalties) which may arise directly or indirectly from failure to provide the requisite information or where the information provided is incorrect or where information previously provided is not updated.

Acknowledgement that measures aimed at the prevention of money laundering may require verification of identity. The Administrator shall be provided with such documentation and information as it may request to verify identity in compliance with applicable anti-money laundering legislation and regulations in force from time to time.

The Company or the Administrator shall be held harmless against any loss arising as a result of a failure to process an application or request for redemption of Shares if such information and documentation as has been requested by the Administrator has not been provided.

On failure to provide the Administrator with the documentation and information referred to above, the Administrator, after notification to the ACD, may reject this application, and that the Administrator may make such reports to the relevant regulatory and law enforcement authorities as required under applicable anti-money laundering legislation and regulations.

The Administrator will withhold the proceeds of redemption of Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify identity.

**I/we declare acknowledgement and consent to the above Declaration, Data Protection statement and EU Savings Directive.**

**I/we declare that this application form has been completed to the best of my/our knowledge and belief.**

**I/we have read and understood, and agree to be bound by the current prospectus of the Company.**

**Signatures**

**Date**


**APPLICANTS OWN BANK ACCOUNT DETAILS**

Bank Name:  
Branch Name:  
IBAN\*\*:  
BIC\*\*:  
Account Name:  
Account Number:  
Sort Code:

\*\*Both the IBAN and BIC can be found on a bank statement.