

APPLICATION FORM FOR INSTITUTIONAL INVESTORS

Goldman Sachs Funds III SICAV

Goldman Sachs Funds IV SICAV

Goldman Sachs Funds V SICAV

Goldman Sachs Funds VI SICAV

Goldman Sachs Funds VII FCP

Goldman Sachs Investment Funds II SICAV

ING Direct SICAV

Winning Funds SICAV

(Each a "Fund" and together the "Funds")

This application form must be read in conjunction with the latest relevant prospectus, available at www.gsam.com/responsible-investing. US Persons as defined in Rule 902 of Regulation S under the United States Securities Act of 1933 are not eligible to open accounts. In accordance with applicable law, financial institutions are required to obtain, verify, and record information that identifies each person or entity who opens an account. We therefore ask you to complete your name, address, identification number and other information in this application form to allow us to identify you. Will also ask for documentary evidence so that we may verify your identity.

Please complete all sections of this application form and send it along with all relevant documentation required (as per Annex 1), to the acting Transfer Agent, using one of the following means:

- Via online secured link (Investor Document Uploader tool "IDU"):
<https://securetransfer.bbh.com/TAInvestorUploader/>
- By email to: BBHTALuxAccountOpening@bbh.com
- By fax at + 352 474 066 704

If using email or IDU as transmission mode, please ensure the documentation is not password protected.


The Application Form must also be duly signed as per the Authorized Signatures List.


Next steps:

- Once received, the Transfer Agent will review your application form and documentation and may ask you to supply further documentation. Your account may not be opened (nor will you be able to receive distributions or redemption proceeds or transfer shareholdings) until the Transfer Agent has received the application and all other necessary documentation as set out in Annex 1 (including original or certified versions where required).
- Should some documentation be required in an original or certified true copy format to set the account as AML Compliant, please kindly send them to the below address:
Brown Brothers Harriman (Luxembourg)
S.C.A. (the "Transfer Agent")
80, Route D'Esch
L-1470 Luxembourg
- When your account is operational, a welcome email stating your account number and any outstanding original documentation required will be sent to the contact details provided on the application form.
- Bank account references for subscription payments are set out in Annex 2.
- In case of multiple account opening requests, a separate application form must be filled out for each account. Alternatively, you may use this form as a 'Master Application Form' by indicating 'all designations' in the account label/designation field. Additional accounts may then be opened by request via fax, listing the designation of the account to be opened and any specific associated information. In doing so, you agree that the terms and conditions of this Application Form apply to all additional accounts you may open.


Questions?


Luxembourg

 +352-474-066-7175


 +352-474-066-7176

Hong Kong


 +852-3971-7175

 +852-3971-7176

Tokyo

 +81-3-6758-7175

Boston

 +1-617-310-7175

 GoldmanSachsAM.TA@bbh.com

 www.gsam.com/responsible-investing

1. Account holder registration and contact details

We already **have an account** with the Transfer Agent

Account number: _____

We are a **new account holder**:

Full legal name: _____

(including legal form)

Account label: _____

(the name that will appear in the shareholder register)

Company registration number: _____

Country of incorporation: _____

1.1 Registered address

(no post office boxes or c/o addresses)

Address: _____

Post code: _____ Country: _____

1.2 Correspondence address

Same as registered address

Other correspondence address

Address: _____

Post code: _____ Country: _____

1.3 Contact person

Name: _____

Position: _____

Email: _____

Phone: _____ Fax: _____

1.4 Have you been in direct contact with a Goldman Sachs Singapore salesperson with respect to this account opening/investment?

Yes No

If yes, please provide name. _____

1.5 Reporting requirements

The Transfer Agent must be informed of any changes to the reporting requirements.

The **contract notes** shall be delivered in the following way:

Email Email address: _____

Fax Fax number: _____

Sent by SWIFTMT515

The **statements** shall be delivered in the following way:

Email Email address: _____

Fax Fax number: _____

Sent by SWIFT (please specify MT)

MT535

MT536

1.6 Key Investor Information Document ("KIID")

You indicate the following email address for the Transfer Agent to forward to you the required one-off electronic notification of the address of the website and the place on the website where the KIID may be accessed.

Email (if different to 1.2 and 1.3): _____

You agree to inform Goldman Sachs Asset Management and the Funds of any change of the email address mentioned above by sending an email to: clientservicingAM@gs.com

1.7 Bank details for subscriptions and redemptions

(Please note that no subscription will be accepted if the subscriber's bank details are not completed)

Bank name: _____

Bank BIC / SWIFT code: _____

Bank address: _____

City: _____

Post code: _____ Country: _____

Swift code: _____ Name of account holder: _____

IBAN number: _____ Reference: _____

1.8 Dividends (where applicable)

Dividend option for distributing share classes (please note if no box is ticked, any distribution will be paid by default):

Payment Reinvest (unless restricted for regulatory compliance)

1.9 Bank details for dividend payments (where applicable and if different to above)

Bank name: _____

Bank BIC / SWIFT code: _____

Bank address: _____

City: _____

Post code: _____ Country: _____

Swift code: _____ Name of account holder: _____

IBAN number: _____ Reference: _____

2. Account holder details

2.1 Nature of entity

Retail Bank	Wealth Manager	Corporate	Foundation/Charity/NGO
Private Bank	Family Office	Government Body	Trust
Fund Platform	Multi-Manager	Investment Fund*	Other:
Financial adviser	Insurance company	Pension Fund*	

* If you selected 'investment fund' or 'pension fund', is the fund's Investment Advisor is domiciled in Singapore?

Yes No

2.2 Description of main business activities generating the funds to be invested

2.3 Expected investment

Expected amount

< than USD 25.000 or equivalent	USD 500.000 - 10.000.000 or equivalent
USD 25.000 - 50.000 or equivalent	> than USD 10.000.000 or equivalent
USD 50.000 - 500.000 or equivalent	

Expected investment frequency

Daily Weekly Monthly Ad hoc

2.4 Beneficial ownership declaration

Please tick either A, B or C.

Investment on own behalf

- A. You are opening the account on your own behalf and not on behalf of any other party and you are the ultimate beneficiary of the investments and any subsequent income generated.
- B. You are opening the account on your own behalf and you control the investment for the ultimate benefit of one or more third parties who do not control investment decisions.

Intermediaries

- C. You are opening the account pursuant to specific instructions of one or more third parties. The account is opened:
 - i) for the benefit of several third parties (omnibus/pooled account), or
 - ii) for the benefit of a designated third party

You declare that:

- You are a professional in the financial sector, authorised and supervised by the relevant financial supervisory authority in your home country.
- You comply with Luxembourg laws, or equivalent, on the fight against money laundering and terrorism financing.
- You have implemented an anti-money laundering (AML) and counter-terrorism financing (CFT) programme. In accordance with this programme, you have carried out due diligence on your underlying clients and, in particular, have identified and verified their identity, as well as the identity of any beneficial owners or controlling person and source of funds, when required by law. This due diligence includes procedures for the identification of Politically Exposed Persons and the application of enhanced due diligence to those persons and other high-risk underlying clients. Where you are acting on behalf of underlying clients who are themselves intermediaries, your due diligence includes an assessment of their AML / CFT programmes.
- You retain copies of all due diligence carried out on the underlying clients for a period of at least 5 years from the end of your relationship with the underlying clients.
- You will provide underlying customer identification documentation and information upon request of the Transfer Agent or Goldman Sachs Asset Management.
- You conduct ongoing monitoring to identify and report suspicious activity, as appropriate, and have procedures in place for cooperating with and reporting to relevant governmental and law enforcement authorities.
- You declare that you comply with United Nations, European Union and OFAC economic sanctions and any other sanctions regime applicable to your entity (each a "Sanctions Regime").
- You conduct screening of your underlying clients, their beneficial owners and controlling persons against the Sanctions Regimes and confirm that as of today, no underlying client, their beneficial owner and controlling persons are named on a sanctions list or otherwise subject to sanctions program of a Sanctions Regime.

- No underlying client is a Shell Bank as defined by EU Directive 2015/849.
- No underlying client has been found by you to have engaged in or be suspected of money laundering. You are not involved in concealing, transferring, or disguising any property which, directly or indirectly, represents the proceeds of a criminal activity for the purpose of avoiding prosecution for an offence.
- You will respond fully to any request from Goldman Sachs Asset Management or the Transfer Agent for information regarding the nature and purpose of transactions, or other information or documentation regarding the underlying clients.

The Transfer Agent may request additional information on the identity of any underlying investor(s) with a beneficial interest in the account of 25% or more or 10% or more (depending on the Transfer Agent's risk assessment). If there are none, you may optionally declare in advance:

We confirm that there are no natural persons having a beneficial interest of 25% or more in the account being opened.

We confirm that there are no natural persons having a beneficial interest of 10% or more in the account being opened.

In case of change of status in the above declaration you must immediately inform the Transfer Agent.

2.5 Legal ownership

Please tick either A, B, C, D or E and complete the relevant details. (N.B. This is not a request to disclose underlying investors.)

A. We are a listed company on an Approved Exchange, as defined in [Annex 1](#).

Name of Stock exchange: _____

Country of Stock exchange: _____

B. We are a subsidiary owned 76% or more by a listed company on an Approved Exchange and we identify our Senior Managing Officials (SMO(s)), for example the CEO or managing director, below.

Name of ultimate listed parent company (if applicable): _____

Name of Stock exchange: _____

Country of Stock exchange: _____

Indicate % ownership: _____

C. We are an entity which is 100% state-owned and we identify our senior managing official(s) ("SMO(s)", for example the CEO or managing director, below.

D. We are a trust, foundation, charity or similar legal arrangement and we identify below:

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

Note: in case any of the settlor, trustee(s), protector or beneficiaries are not natural persons, please identify the Beneficial Owners of these entities below.

E. None of the above / we are a privately-owned company.

- Please identify below the natural person(s) who directly or indirectly holds or controls 25% of the shares or more of the shares, voting rights or ownership in the entity.
- If no natural person can be identified under (i), please identify any person who controls the legal entity via other means.
- If no person under point i) and ii) is identified, please identify any person who holds the position of senior managing official ("SMO", for example the CEO or managing director).

Please tick one:

We confirm that there are no natural persons with a shareholding of 25% of the shares or more or persons who otherwise control the entity and we provide the identity details of our SMO(s) below.

We provide the details of our Beneficial Owner(s) below.

The Transfer Agent may request additional information on legal and natural persons owning 10% or more. If there are none, you may optionally declare in advance:

We confirm that there are no natural persons with a shareholding of 10% or more.

Identification of beneficial owners

In case of more than four beneficial owners, please contact us or provide the additional details in separate document signed by an authorised person

Beneficial owner 1

Corporates:	Beneficial owner	Senior managing official			
Trusts or similar:	Settlor	Protector	Trustee	Beneficiary	Other: _____
Last name:	_____	First name:	_____		
Date of birth (dd/mm/yyyy):	_____	Place of birth:	_____		
Nationality:	_____	Country of birth:	_____		
Address:	_____				
Post code:	_____	Country:	_____		
If applicable, nature and percentage of ownership interest held / class of beneficiaries:					

Beneficial owner 2

Corporates:	Beneficial owner	Senior managing official			
Trusts or similar:	Settlor	Protector	Trustee	Beneficiary	Other: _____
Last name:	_____	First name:	_____		
Date of birth (dd/mm/yyyy):	_____	Place of birth:	_____		
Nationality:	_____	Country of birth:	_____		
Address:	_____				
Post code:	_____	Country:	_____		
If applicable, nature and percentage of ownership interest held / class of beneficiaries:					

Beneficial owner 3

Corporates:	Beneficial owner	Senior managing official			
Trusts or similar:	Settlor	Protector	Trustee	Beneficiary	Other: _____
Last name:	_____	First name:	_____		
Date of birth (dd/mm/yyyy):	_____	Place of birth:	_____		
Nationality:	_____	Country of birth:	_____		
Address:	_____				
Post code:	_____	Country:	_____		
If applicable, nature and percentage of ownership interest held / class of beneficiaries:					

Beneficial owner 4

Corporates:	Beneficial owner	Senior managing official			
Trusts or similar:	Settlor	Protector	Trustee	Beneficiary	Other: _____
Last name:	_____	First name:	_____		
Date of birth (dd/mm/yyyy):	_____	Place of birth:	_____		
Nationality:	_____	Country of birth:	_____		
Address:	_____				
Post code:	_____	Country:	_____		
If applicable, nature and percentage of ownership interest held / class of beneficiaries:					

3. FATCA/CRS Self- Certification

The U.S. Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) require us to collect and report tax related information about our clients (account holders) and their accounts held. If the account holder or any of its Controlling Persons have a tax residence outside the country where the account is held or is a U.S. Person, we may be legally obligated to pass on the information provided in this form, and other financial information with respect to an investor's interests to the tax authorities, for transmission to the relevant competent foreign tax authorities pursuant to intergovernmental/multilateral agreements. You may provide your own FATCA/CRS Self-Certification form instead of completing this section.

Please visit www.irs.gov/fatca and www.oecd.org for more information.

As a financial institution, we are not allowed to provide tax advice. If you have any questions about how to complete this form or how to determine your tax residency or status, please contact your tax advisor.

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

3.1 CRS Tax Residency

Please indicate the account holder's country of tax residence. (If resident in more than one country please detail all countries of tax residence. Please contact us in case the Account Holder has over three countries of tax residence as this information must be supplied). If the account holder is not tax resident in any jurisdiction (e.g. because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

Note: The provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN. More guidance on TINs can for example be found on the OECD Automatic Exchange of Information Portal: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Country of tax residency	Tax ID number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

3.2 CRS Classification

For more information please see the CRS Standard and associated commentary:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

A. Financial institutions under CRS

If the account holder is a Financial Institution, please tick one of the below categories.

- I. Financial Institution under CRS (other than (II) below)
- II. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution – *please complete section 3.4 Controlling Persons*

B. Non-Financial Institutions under CRS

If the account holder is a Non-Financial Institution, please tick one of the below categories.

- I. Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- II. Active Non-Financial Entity – a Government Entity or Central Bank
- III. Active Non-Financial Entity – an International Organisation
- IV. Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)
- V. Passive Non-Financial Entity – *please complete section 3.4 Controlling Persons*

3.3 FATCA Classification

A Financial Institutions under FATCA

If the account holder is a Financial Institution, please tick one of the below categories and provide the entity's GIIN.

- I. Financial Institution or a Partner Jurisdiction Financial Institution
- II. Registered Deemed Compliant Foreign Financial Institution
- III. Participating Foreign Financial Institution

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

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

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

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

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

- II. Exempt Beneficial Owner
- III. Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)
- IV. Non-Participating Foreign Financial Institution
- V. Excepted Foreign Financial Institution

B Non-Financial Institutions under FATCA:

If the Entity is not a Financial Institution, please tick one of the below categories

- I. Active Non-Financial Foreign Entity
- II. Passive Non-Financial Foreign Entity – *please complete section 3.4 Controlling Persons*
- III. Excepted Non-Financial Foreign Entity

3.4 Controlling Persons

(FATCA Passive Non-Financial Foreign Entities; CRS Passive Non-Financial Entities and CRS Investment Entities located in a Non-Participating Jurisdiction and managed by another Financial Institution ONLY)

In case of over three Controlling Persons, please contact us as this information must be supplied.

Controlling Person 1

Last name: _____ First name: _____
Date of birth (dd/mm/yyyy): _____ Place and country of birth: _____
Address: _____
Country of tax residence 1: _____ TIN: _____
Country of tax residence 2: _____ TIN: _____
Country of tax residence 3: _____ TIN: _____
TIN unavailable explanation: _____

Controlling Person 2

Last name: _____ First name: _____
Date of birth (dd/mm/yyyy): _____ Place and country of birth: _____
Address: _____
Country of tax residence 1: _____ TIN: _____
Country of tax residence 2: _____ TIN: _____
Country of tax residence 3: _____ TIN: _____
TIN unavailable explanation: _____

Controlling Person 3

Last name: _____	First name: _____
Date of birth (dd/mm/yyyy): _____	Place and country of birth: _____
Address: _____	
Country of tax residence 1: _____	TIN: _____
Country of tax residence 2: _____	TIN: _____
Country of tax residence 3: _____	TIN: _____
TIN unavailable explanation: _____	

4. Data protection information notice

For compliance with financial supervision laws and in order to establish a business relationship with you, the Funds and their management company, Goldman Sachs Asset Management B.V., need to gather personal data from you via this application form. Failure to provide these data means we are not able to enter into a business relationship with you.

Data controller

In this respect, the Funds and Goldman Sachs Asset Management B.V. are your data controller. You can contact your data controller as follows:

Prinses Beatrixlaan 35, 2595 AK The Hague,
The Netherlands
email: nnip.ta.account@nnip.com
phone number: +31 (0)70 378 1947

Data controller's data protection officer ('DPO')

Goldman Sachs Asset Management B.V. has a DPO. You can contact the DPO via gs-privacy@gs.com

Purpose and legal basis for gathering your personal data

Goldman Sachs Asset Management B.V. is gathering your personal data in order to establish a business relationship with you and to comply with our legal obligations stemming from financial supervision laws (such as anti-money laundering and anti-terrorist financing regulations that require Goldman Sachs Asset Management B.V. to know our customers).

Who has access to your personal data?

The Transfer Agent may act as data controller for the personal data processed in course of the performance of its own duties and obligations, and which it needs to use to comply with its own legal requirements under applicable laws (e.g. Anti-Money Laundering and Countering of the Financing of Terrorism and Sanctions laws). The Transfer Agent's DPO can be contacted at: dpo@bbh.com

Please also refer to the Transfer Agent's privacy policy at:

<https://www.bbh.com/en-us/our-firm/policies-and-disclosures/privacy-policy>

Your personal data will primarily be handled by the Transfer Agent Brown Brothers Harriman (Luxembourg) S.C.A., which the data controller engaged as its 'data processor'. In addition, personnel of the data controller may be recipient of your data on a 'need to know' basis.

The data processor may engage sub-processors which are part of the group of Brown Brothers Harriman & Co., a New York private bank. Where the data processor transfers your data outside the EU, appropriate safeguards are put in place to ensure an adequate level of protection is provided, such as by entering into standard data protection clauses adopted by the EU Commission.

How long do we store your data?

Your data will be retained for a maximum of 10 years after termination of your business relationship with Goldman Sachs Asset Management B.V. or the Funds

What are your rights with respect to the personal data we possess?

At any time you can contact Goldman Sachs Asset Management B.V. to inform you about the personal data that we hold from you. You have the right to rectify this data in case these are incorrect. You also have the right to have your personal data erased, however as long as the business relationship continues we are legally required to retain your data to comply with legal obligations under financial supervision law. You also have the right to ask Goldman Sachs Asset Management B.V. to provide you with a file of your personal data so you can port your data to an alternative service provider.

Where can you lodge a complaint about the processing of your personal data?

Should you be of the opinion that your personal data are not handled properly, you can lodge a complaint with the competent supervisory authority in the Netherlands via its website:

Autoriteit Persoonsgegevens
Bezuidenhoutseweg 30
2594 AV Den Haag
Phone: 088 - 1805 250
<https://www.autoriteitpersoonsgegevens.nl>

More information on how Goldman Sachs Asset Management B.V. processes your personal data can be found in the [privacy statement](#).

5. Terms and Conditions

By signing this application form the Account Holder represents and warrants to Goldman Sachs Asset Management B.V., the Funds and the Transfer Agent:

- You are aware that the subscription of shares in the Funds entails the Transfer Agent maintaining and keeping the investors registrar. The Application Form together with its Terms and Conditions, the Funds' prospectus and articles of incorporation will be legally binding
- You acknowledge that the information contained in this form and information regarding the investor 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

Prospectus and KIID

- You have received a copy of the prospectus of the Fund that you wish to invest in (including the schedules thereto as well as any relevant country specific information or disclaimers, and where relevant a current annual or semi-annual report) and have read and understood the contents and agree to be legally bound by the prospectus and related documentation of the respective Fund
- You declare that you have carefully considered the risk factors and warnings contained in the prospectus (including any schedules thereto as well as any relevant country specific information or disclaimers, and where relevant a current annual or semi-annual report) and you confirm that you understand and agree to bear the risks referred to therein
- If you are an Intermediary acting directly or indirectly for the benefit of other beneficial owner(s) of the shares, you confirm that, if required by applicable law:
 - i. you have determined that investment in the Funds is suitable and/or appropriate for such beneficial owners;
 - ii. you have disclosed all risk factors and warnings contained in the prospectus and related documentation of the respective Fund and you confirm that such beneficial owners understand and agree to bear the risks referred to therein; and
 - iii. such beneficial owners have received a copy of the prospectus and the KIID in good time prior to their investment.
- You specifically consent that prior to subscribing for shares, copies of the current KIID for the relevant share classes that you intend to subscribe for will be provided to you by making them accessible free of charge on <https://www.gsam.com/responsible-investing/en-GB/professional/funds/documents>

Anti-Money Laundering

- The account will not be opened until we receive all information and documentation we consider

necessary (including any required third party documentation) and are satisfied that they are complete, correct and authentic

- You agree to provide the Transfer Agent, the Funds or Goldman Sachs Asset Management the requested information related to any account activity, economic origin of funds and purpose of relationship
- Any payments or transfers of shareholdings may be delayed until anti-money laundering requirements have been satisfied. We shall not be liable for any share price movements or loss of bank interest occurring as a result of this

Distribution

- Account opening does not provide a license to the account holder for offering, distributing, promoting, marketing to, and seeking subscriptions by, third parties. In case the account holder performs such activities without such license it shall be held liable for any damages caused to Goldman Sachs Asset Management

Market Timing

- You understand that an arbitrage method through which an investor systematically subscribes, redeems or converts of shares/units in the same fund within a short time period in order to exploit time zone differences and/or imperfections in the net asset value calculation system of the fund and other excessive short term trading practices are not permitted. Market timing and excessive short-term trading practices may lead to increased costs and/or lower profits, may disrupt portfolio management strategies and can harm a fund's performance. Therefore, to minimise harm to both the fund and the investors, Goldman Sachs Asset Management and the Transfer Agent have the right to reject any order for subscription or conversion from any investor who is engaging in excessive trading or has a history of excessive trading or if a Fund's trading, in the opinion of the Goldman Sachs Asset Management, has been or may be disruptive to the Funds. I understand that the Funds will not be held liable for any losses resulting from rejecting orders or mandatory redemptions

Communication

- You agree to the receipt of electronic communications such as fax and email. You agree to the receipt of electronic communications such as fax and email, and acknowledge that such methods of communication are unsecured, meaning that the use of such communications entails a higher risk of fraud and forgery, for which the Transfer Agent and Goldman Sachs Asset Management will not be liable
- For written instructions, you specifically agree to fully indemnify the Transfer Agent and Goldman Sachs Asset Management from and against all liabilities, losses, costs, actions, proceedings, claims and demands which may be incurred by or brought or made against the Goldman Sachs Asset Management or the Transfer Agent arising directly or indirectly from having acted upon such instructions sent in writing
- You agree to the use of telephone recording by the Transfer Agent and Goldman Sachs Asset Management and agree that these records may be used in court or any legal proceeding, with the same value as written evidence

Miscellaneous

- In case you invest in an Alternative Investment Fund, you declare that you are an investor which is considered to be a professional investor within the meaning of Annex II to Directive 2004/39/EC as amended, and that you have verified that the relevant notification prescribed by the Directive 2011/61/EC has been performed for the sub-fund / share class you intend to subscribe. Otherwise you have ensured that the shares of the sub-fund /share class you intend to subscribe are properly authorised for distribution in your country, in compliance with the applicable local laws and regulations
- You are aware of the fact that the Fund(s) is not open for investments by 'US Persons' and that neither the investor nor its UBO (nor underlying clients in the event the account holder is an Intermediary) qualify as 'US Persons' as defined in Rule 902 of Regulation S of the United States Securities Act of 1993, including natural persons holding US citizenship but not resident in the United States of America
- If you are acting as a nominee, you confirm that you will be responsible for all necessary sub-accounting for the beneficial owners of the shares and that you will forward to such beneficiaries all dividends (if any) and all shares attributable to such beneficiaries
- The subscription is subject to receipt and acceptance by the Transfer Agent, the Funds and Goldman Sachs Asset Management at their sole discretion

- We may reject any request to buy shares, whether for an initial or additional investment, for any reason
- Where a Power of Attorney is required, a certified true copy must be provided to the Transfer Agent prior to any subscription or redemption
- Neither the Transfer Agent nor Goldman Sachs Asset Management shall be liable, except in the event of gross negligence in the verification of the signatures and signatory powers on the documentation, for the fraudulent use by a third party of the applicant's signature, whether this signature be authentic or forged ("Fraudulent Instruction")
- You are duly authorised to sign this application form
- The information provided in this application form and submitted supporting documentation is true and correct at the time of completion and that we will promptly inform the Transfer Agent in writing within three working days of any changes of details herein
- If any provision or clause of these Terms and Conditions is or becomes void or unenforceable in whole or in part for any reason such enforceability or invalidity shall not affect the validity of the remaining terms and conditions. Terms and Conditions corresponding in sense must replace the invalid terms and conditions
- The laws of the Grand Duchy of Luxembourg shall govern the validity and construction of these Terms and Conditions and the parties agree to be bound by the exclusive jurisdiction of the courts of Luxembourg City, Grand Duchy of Luxembourg

6. Signatures

Signature: _____

Name: _____

Function: _____

Place: _____

Date: _____

Signature: _____

Name: _____

Function: _____

Place: _____

Date: _____

Annex 1: Documentation Requirements

Note: The indicative standards in this Annex may be updated periodically. In order to meet legal requirements on an ongoing basis, Account Holders may be required to provide additional documentation/information from time to time.

A. Certification Requirements

Documentation that is generally required to be original or CTC form as described above is denoted with an asterisk (*).

In Luxembourg, a certified true copy ("CTC") means the actual certification signed by the certifier in wet ink. Copies of certified documents are not acceptable.

The categories of verification documentation that are required to be in original or CTC form are generally as follows:

- Proof of existence and constitutive documentation
- Natural person identification documentation
- Beneficial and ultimate beneficial ownership documentation
- Source of wealth documentation

Certifications must be dated within twelve (12) months at the time of receipt by the Transfer Agent.

Certifications must:

- Include a statement to the effect that the document is a true copy of the original
- Be signed and dated
- State the full name of the certifier and the capacity in which they are certifying and
- Include a stamp of the certifier or equivalent (where available)

Documentation can be independently certified by one of the following reputable persons:

- i. Police Officer
- ii. Practicing Chartered/Certified Public Accountant
- iii. Notary Public/Practicing Solicitor
- iv. Embassy/Consular Staff
- v. Justice of the Peace/Peace Commissioner/Commissioner of Oaths
- vi. Director, Compliance Officer, Legal Officer, Company Secretary of a Regulated Financial Institution in an Approved Jurisdiction

Certifiers that are officers of a corporate entity are permitted to certify documentation of the corporate entity where they meet the requirements under points (i) - (iv) above.

Officers of a parent entity may act as certifiers of documentation of any affiliate of the parent entity.

Although they hold an appropriate qualification, it is not acceptable that certifiers certify their own personal documentation.

B. Translation

Please provide the requested documents in either English, German, or French.

In case some of the documents are not available in one of these languages, please provide a soft copy of the document in its original language. The Transfer Agent will forward these documents to Goldman Sachs Asset Management. Goldman Sachs Asset Management will offer translation support and will provide a translated version of the document to the Transfer Agent. Please note that this will affect the timeline of the account opening.

C. Power of Attorney (POA) Requirements

The document granting authority to act on the account must be signed by an authorized person. In addition to the document granting the authority to act on the account, the following must be provided:

Natural Person

- Photographic identification document*

Legal Entity - Financial Institution (or a subsidiary of Financial Institution) regulated by an Approved Regulator and domiciled in an Approved Jurisdiction:

- Proof of regulation (Approved Regulator) for authorized Financial Institution
- List of Authorized Signers (dated and on company letterhead) of authorized Financial Institution
- List of Authorized Signers (dated and on company letterhead) of Investor

Legal Entity - Financial Institution (or subsidiary of Financial Institution) not regulated by an Approved Regulator and/or not domiciled in an Approved Jurisdiction or any other entity type:

- Proof of existence (e.g., proof of registration or regulation, certificate of incorporation, or organizational documents) of authorized legal entity*
- Photographic identification document of all authorized signers on POA*
- If parent company of Authorized Entity is regulated in an Approved jurisdiction, this requirement may be satisfied by a duly authorized letter issued by the parent company confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters
- Proof of regulation for parent company and as applicable list of Authorized Signers (dated and on company letterhead) required
- List of Authorized Signers (dated and on company letterhead) of Investor
- List of Authorized Signers (dated and on company letterhead) of authorized legal entity

D. Definitions

An **Approved Exchange** is an exchange listed in Section 18 of this Annex. Approved Exchanges are deemed by Goldman Sachs Asset Management B.V. and the Funds to have disclosure requirements which impose requirements to ensure adequate transparency of beneficial ownership. The list of Approved Exchanges may be updated from time to time.

An **Approved Regulator** is a regulator listed in Section 19 of this Annex. Approved Regulators are deemed by Goldman Sachs Asset Management B.V. and the Funds to regulate for AML purposes. The list of Approved Regulators may be updated from time to time.

An **Approved Jurisdiction** is a country listed in Section 20 of this Annex. Approved Jurisdictions are deemed by Goldman Sachs Asset Management B.V. and the Funds to impose AML regulations aligned to those required by Luxembourg. The list of Approved Jurisdictions may be updated from time to time.

Authorized Signers are persons authorized to act on behalf of an entity.

Authorized Signatories are persons signing this application form and persons who are to give instructions regarding this account.

A **Beneficial Owner** is defined as a natural person who ultimately owns, is entitled to or controls the customer whether through direct or indirect ownership, entitlement or control, or any natural person(s) on whose behalf a transaction or activity is being conducted. For account opening, confirmation of Beneficial Ownership must be less than twelve (12) months old when received by the Transfer Agent and must be provided in writing and signed by an authorized signer(s). The Transfer Agent will seek to obtain the beneficial ownership information independently, where appropriate.

Controlling Party is a person with authority to act on behalf of the investor and/or owns directly or indirectly 25% (10% for High Risk) or more of the investor. Examples of Controlling Parties include Executive Directors, Trustees, Authorized Signers and Beneficial Owner(s) of the Investor. Confirmation of controlling party(ies) must be less than twelve (12) months old when received by the Transfer Agent.

1. Listed Companies (Approved Exchanges)

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of listing on an Approved Exchange

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent) or Certificate of Registration or extract from a relevant authority's online registry

2. Subsidiary (owned \geq 76%) of Listed Company (Approved Exchange)

Subsidiary Company

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Certificate of Incorporation (or equivalent) or Certificate of Registration or extract from a relevant Authority's online registry
- Photographic identification document for all Senior Managing Official(s) ("SMO(s)") identified in section 2.4

Parent Company (Listed Company)

- Proof of listing of parent company on an Approved Exchange
- Documented confirmation that subsidiary company is majority owned (at least 76%) by listed parent company
- Audited financial statements (most recent)(as applicable)

(List of Authorized Signers of parent company (dated and on company letterhead) may be requested as applicable)

3. Partnerships

Documentation requirements are based on the manner and form of the partnership's operations and objectives.

For example, a partnership that operates in the manner of an investment vehicle will be treated as a Collective Investment Scheme, while a partnership that operates in the manner of an operating company will be treated as a Company.

4. Government Entities and State-owned Entities

- List of Authorized Signers (dated and on company letterhead)
- Official proof of existence issued by a governmental body, law or decree or Constitutive Documents
- In the case of a state-owned entity, confirmation required that the entity is 100% state owned
- Document indicating nature and purpose of entity (if not evident within constitutive document)
- Photographic identification document for all Senior Managing Official(s) ("SMO(s)") identified in section 2.4

The following additional documents (and certified true copies) may be requested by the Transfer Agent:

- List of all Executive Directors/Officials (or equivalent): list to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/incorporation
- Photographic identification document for all authorized signers
- Audited Financial Statements (most recent)
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))
 - Full legal name, date of incorporation, country of incorporation for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain

5. Companies (private/unlisted/subsidiary (owned < 76%) of listed company)

- List of Authorized Signers (dated and on company letterhead)
 - Photographic identification document for all authorized signers*
 - Constitutive documents (i.e. Limited Liability Company Agreement, Memorandum and Articles of Association or equivalent)*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - List of all Executive Directors/Officials (or equivalent): list to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation*
 - Source of Wealth declaration: description of the origin of the Investor's overall wealth*
 - Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
- For each entity holding 25% or more:
- Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*

The following additional documents may be requested by the Transfer Agent:

- Documented verification of source of wealth*
- Listing of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation) is required for all intermediate legal entity owners in the ownership chain*
- Proof of address of beneficial owner*
- For each entity or natural person owning (directly or indirectly) 10% or more of the company:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*

6. Financial Institutions (Proprietary)

6.1 Financial Institution domiciled in an Approved Jurisdiction and regulated by an Approved Regulator

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of regulation by an Approved Regulator
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Photographic identification document for all account signatories
This requirement may be satisfied by a duly authorized letter issued by the Investor confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these

persons with respect to the applicable lists of restrictive measures in financial matters

- List of all Executive Directors/Officials (or equivalent): list to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))
[For each entity holding 25% \(or 10% in higher risk cases\) or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution
- All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding. If no party, documented confirmation of same required.
- Proof of address of beneficial owner
- Audited Financial Statements (most recent)
- Identification and documented verification of source of wealth

6.2 Financial Institution not domiciled in an Approved Jurisdiction and/or regulated by an Approved Regulator

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all account signatories*
- Proof of regulation*
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/ incorporation, country of residence and country of citizenship/ incorporation*
- Source of Wealth declaration: description of the origin of the Investor's overall wealth*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate)),
[For each entity holding 25% or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*

The following additional documents may be requested by the Transfer Agent:

- Audited Financial Statements (most recent)*
- Documented verification of source of wealth*

- Proof of address of beneficial owner*
- Where there are multiple ownership layers:
For each entity holding 10% or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding. If no party, documented confirmation of same required.*

7. Financial Institutions (Intermediaries)

7.1 Financial Institution domiciled in an Approved Jurisdiction and regulated by an Approved Regulator

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of regulation by an Approved Regulator
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Photographic identification document for all account signatories
This requirement may be satisfied by a duly authorized letter issued by the Investor confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters
- List of all Executive Directors/Officials (or equivalent): list to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation
- Source of Wealth declaration: description of the origin of the Investor's overall wealth*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate)),
For each entity holding 25% (or 10% in higher risk cases) or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*

- All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding. If no party, documented confirmation of same required.
- Audited Financial Statements (most recent)
- Identification of underlying investors:
 - All legal entities interceding or having a beneficial interest of 25% (or 10%) or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain
 - All natural person(s) (direct or indirect) having a beneficial interest of 25% (or 10%) or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, residential address, citizenship and percentage of holding

7.2 Financial Institution not domiciled and regulated in an Approved Jurisdiction/by an Approved Regulator

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all account signatories*
- Proof of regulation*
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/incorporation*
- Source of Wealth declaration: description of the origin of the Investor's overall wealth*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate)),
[For each entity holding 25% or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Identification of underlying investors:
 - All legal entities interceding or having a beneficial interest of 25% or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain
 - All natural person(s) (direct or indirect) having a beneficial interest of 25% or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding

The following additional documents may be requested by the Transfer Agent:

- Audited Financial Statements (most recent)*
- Where there are multiple ownership layers:
[For each entity or individual holding 10% or more:](#)
 - Full legal name, date of incorporation/date of birth, country of incorporation, proof of address and percentage of holding
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
- Identification of underlying investors:

- All legal entities interceding or having a beneficial interest of 10% or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain*
- All natural person(s) (direct or indirect) having a beneficial interest of 10% or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, proof of residential address, citizenship and percentage of holding*
- Source of wealth declaration

8. Subsidiaries of Financial Institutions (Intermediaries)

8.1 Financial Institution (parent company) regulated by an Approved Regulator and domiciled in an Approved Jurisdiction

Subsidiary

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all account signatories
This requirement may be satisfied by a duly authorized letter issued by the Investor confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/ incorporation, country of residence and country of citizenship/ incorporation
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

Parent Company (Regulated Financial Institution)

- Proof of regulation of parent company by an Approved Regulator
- Intermediary Due Diligence Letter from the parent company
- Documented confirmation that subsidiary company is supervised under the AML program of the parent company
May be confirmed within the Intermediary Due Diligence Letter
- List of Authorized Signers of parent company (dated and on company letterhead) may be requested (in order to verify the authority of the signer of the Intermediary Due Diligence Letter)

The following additional documents may be requested by the Transfer Agent:

Subsidiary Company

- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate)),
For each entity holding 25% (or 10% in higher risk cases) or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, proof of residential address, citizenship and percentage of holding. If no party, documented confirmation of same required.
- Memorandum and Articles of Association or equivalent

- Identification of underlying investors:
 - All legal entities interceding or having a beneficial interest of 25% (or 10%) or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain
 - All natural person(s) (direct or indirect) having a beneficial interest of 25% (or 10%) or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding
 - Documented verification of source of wealth*

Parent Company (Regulated Financial Institution)

- Audited financial statements (most recent)

8.2 Financial Institution (parent company) is not regulated by an Approved Regulator and/or not domiciled in an Approved

Jurisdiction:

Subsidiary

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for authorized signers*
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/ incorporation, country of residence and country of citizenship/ incorporation*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4* (if applicable)
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
 - [For each entity holding 25% \(or 10% in higher risk cases\) or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Identification of underlying investors:
 - All legal entities interceding or having a beneficial interest of 25% (or 10%) or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain
 - All natural person(s) (direct or indirect) having a beneficial interest of 25% (or 10%) or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding*
 - Source of Wealth declaration: description of the origin of the Investor's overall wealth*

Parent Company (Regulated Financial Institution)

- Proof of regulation of parent company*
- Intermediary Due Diligence Letter from the parent company
- Documented confirmation that subsidiary company is supervised under the AML program of the parent company (may be confirmed within the Intermediary Due Diligence Letter)
- List of Authorized Signers of parent company (dated and on company letterhead) may be requested (in order to verify the authority of the signer of the Intermediary Due Diligence Letter)

The following additional documents may be requested by the Transfer Agent:

Subsidiary Company

- Where there are multiple ownership layers:
[For each entity holding 10% or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, proof of address, citizenship and percentage of holding. If no party, documented confirmation of same required.*
- Identification of underlying investors:
 - All legal entities interceding or having a beneficial interest of 10% or more in account being opened: proof of existence (certificate of incorporation or other formation document) and beneficial ownership (share register) for all entities in the ownership chain
 - All natural person(s) (direct or indirect) having a beneficial interest of 10% or more in account being opened: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding

Parent Company (Regulated Financial Institution)

- Audited financial statements (most recent)*

9. Collective Investment Schemes (CIS)/Mutual Funds

9.1 Funds regulated by an Approved Regulator and domiciled in an Approved Jurisdiction:

Fund

- List of Authorized Signers (dated and on company letterhead)
- Proof of regulation by an Approved Regulator
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4

The following additional documents may be requested by the Transfer Agent:

Fund

- Fund Prospectus/Offer document or equivalent
- Photographic identification document for all account signatories or signers (in cases of High Risk)
- Documented identification of Fund Promoter/Distributor (verification required where High Risk)
- Documented identification of Fund Management Company/Fund Manager (verification required where High Risk)
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/ incorporation, country of residence and country of citizenship/ incorporation
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the fund (signed by an Authorized Signatory or Compliance Officer (or authorized delegate)),
[For each entity or individual holding 25% \(or 10% in higher risk cases\) or more \(directly or indirectly\):](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*
 - Beneficial ownership (share register) for all entities in the ownership chain
- Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where

present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution

- Source of wealth declaration and verification of source of wealth of Beneficial Owner
- Proof of address of Beneficial Owner

Entity responsible for AML on underlying investors

- Identification of entity responsible for AML on underlying investors
- Proof of regulation by an Approved Regulator

If the entity responsible for AML on underlying investors, is a wholly owned subsidiary of a regulated financial institution, the confirmation of regulation should come from regulated parent company.

If the entity responsible for AML on underlying investors is not a regulated financial institution (or a wholly owned subsidiary of a regulated financial institution), further due diligence is required including Constitutive Documents.

- List of Authorized Signers (dated and on company letterhead), will be required if the entity has the authority to operate account
- Intermediary Due Diligence Letter

9.2 Funds not regulated by an Approved Regulator and/or not domiciled in an Approved Jurisdiction:

Fund

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all account signatories*
- Fund Prospectus/Offer document or equivalent
- Proof of regulation or Certificate of Registration*
- Documented identification of Fund Promoter/Distributor
- Documented identification of Fund Management Company/Fund Manager
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the fund (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity or individual holding 25% \(or 10% in higher risk cases\) or more \(directly or indirectly\):](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Source of wealth declaration for Beneficial Owner*

Entity responsible for AML on underlying investors

- Identification of entity responsible for AML on underlying investors
- Proof of regulation*

If the entity responsible for AML on underlying investors, is a wholly owned subsidiary of a regulated financial institution, the confirmation of regulation should come from regulated parent company

If the entity responsible for AML on underlying investors is not a regulated financial institution (or a wholly owned subsidiary of a regulated financial institution), further due diligence is required including Constitutive Documents*

- List of Authorized Signers (dated and on company letterhead), will be required if the entity has the authority to operate account

- Intermediary Due Diligence Letter

The following additional documents may be requested by the Transfer Agent:

Fund

- Photographic identification document for all authorized signers*
- Documented verification of Fund Promoter/Distributor*
- Documented verification of Fund Management Company/Fund Manager*
- List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation) for all intermediate legal entity owners in the ownership chain*
- Proof of address for Beneficial Owner*
- Documented verification of source of wealth for Beneficial Owner*

10. Trust/Estate

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all authorized signers*
- Constitutive documents (i.e. Trust Deed/Agreement or equivalent)*
- Document indicating nature and purpose of entity (if not evident within constitutive document)*
- List of Executive Directors, Trustees (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/incorporation*
- Source of Wealth declaration: description of the origin of the Investor's overall wealth*
- Documented identification and verification of Settlor(s)/Grantor(s) and (where present) Protector(s)
 - For Settlor(s)/Grantor(s) and (where present) Protector(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Settlor(s)/Grantor(s) and (where present) Protector(s): full due diligence documentation in accordance with their legal form*
- Documented identification and verification of all named beneficiary(ies) benefiting from the Trust/Estate:
 - For all named beneficiary(ies) (natural or legal person(s)): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of benefit*
 - Verification of all named beneficiary(ies): full due diligence documentation in accordance with their legal form*

Where only a class of beneficiary is identified, the Investor account will be temporarily restricted from payments to the Investor to allow for actual beneficiary(ies) information to be determined at point of payment (verification of actual beneficiary(ies) will occur for each redemption prior to payment): full due diligence documentation in accordance with their legal form*

The following additional documents may be requested by the Transfer Agent:

- Documented verification of source of wealth*

11. Charity/Non-Profit/Foundation – Private

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all authorized signers*
- Constitutive documents (i.e. Trust Deed/Agreement or equivalent or Memorandum and Articles of Association)*
- Document indicating nature and purpose of entity (if not evident within constitutive document)*
- Annual tax return or audited financial statements (most recent) (as applicable)*
- List of all Executive Directors, Trustees (or equivalent): List to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation*
- Source of Wealth declaration: description of the origin of the Investor's (or Founder(s) where a Foundation) overall wealth*

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration (or equivalent) or extract from a relevant authority's online registry*

For Trusts & Non-Corporate Entity Types

- Documented identification and verification of Settlor(s)/Founder(s)/Grantor(s) and (where present) Protector(s)
 - For Settlor(s)/Founder(s)/Grantor(s) and (where present) Protector(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Settlor(s)/Grantor(s)/Founder(s) and (where present) Protector(s): full due diligence documentation in accordance with their legal form*
- Documented identification and verification of major Donor(s)/Benefactor(s)
- For Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% High Risk) or more of the investor's recent activity: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Verification of Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% High Risk) or more of the investor's recent activity: full due diligence documentation in accordance with their legal form*
- Documented identification and verification of all named beneficiary(ies) benefiting from the entity's recent activities:
- For all named beneficiary(ies) (natural or legal person(s)): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of benefit*
- Verification of all named beneficiary(ies): full due diligence documentation in accordance with their legal form*

Where only a class of beneficiary is identified, the Investor account will be temporarily restricted from payments to the Investor to allow for actual beneficiary(ies) information to be determined at point of payment (verification of actual beneficiary(ies) will occur for each redemption prior to payment): full due diligence documentation in accordance with their legal form*

For Corporate Entity Types

- Documented identification and verification of Settlor(s)/Founder(s)/Grantor(s) and (where present) Protector(s)
 - For Settlor(s)/Founder(s)/Grantor(s) and (where present) Protector(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Settlor(s)/Grantor(s)/Founder(s) and (where present) Protector(s): full due diligence documentation in accordance with their legal form*
- Documented identification and verification of Donor(s)/Benefactor(s)
 - For Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% High Risk) or more of the investor's recent activity: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% High Risk) or more of the investor's recent activity: full due diligence documentation in accordance with their legal form*
- All legal and natural person(s) (direct or indirect) owning 25% (10% High Risk) or more of the entity: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required.*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity holding 25% \(or 10% in higher risk cases\) or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*

- Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*

The following additional documents may be requested by the Transfer Agent:

- Documented verification of source of wealth*
- Proof of address for ultimate beneficial owner(s)*
- Where there are multiple ownership layers:
For each entity holding 25% (or 10% in higher risk cases) or more:
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*

12. Charity/Non-Profit/Foundation – Public

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all authorized signers*
- Constitutive documents (i.e., Trust Deed/Agreement or equivalent or Memorandum and Articles of Association)*
- Document indicating nature and purpose of entity (if not evident within constitutive document)*
- Annual tax return or audited financial statements (most recent) (as applicable)*
- List of all Executive Directors, Trustees (or equivalent): List to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation*
- Identification of source of wealth of any major Donor(s)/Benefactors(s) in the amount equal to 25% (10% High Risk) or more of the investor's recent activity*

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*

For Trusts & Non-Corporate Entity Types

- For Settlor(s)/Founder(s)/Grantor(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- For major Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% in higher risk cases) or more of the investor's recent activity: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Documented identification and verification of Protectors (where present):
 - For Protector(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Protector(s): full due diligence documentation in accordance with their legal form*
- Documented identification and verification of all named beneficiary(ies) benefiting from the entity's donations/activities:
 - For all named beneficiary(ies) (natural or legal person(s)): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of benefit*
 - Verification of all named beneficiary(ies): full due diligence documentation in accordance with their legal form*

Where only a class of beneficiary is identified, the Investor account will be temporarily restricted from payments to the Investor to allow for actual beneficiary(ies) information to be determined at point of payment (verification of actual beneficiary(ies) will occur for each redemption prior to payment); full due diligence documentation in accordance with their legal form*

For Corporate Entity Types

- For Settlor(s)/Founder(s)/Grantor(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- For Donor(s)/Benefactor(s) contributing in the amount equal to 25% (10% in higher risk cases) or more of the investor's recent activity: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Documented identification and verification of Protectors (where present):
 - For Protector(s): identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
 - Verification of Protector(s): full due diligence documentation in accordance with their legal form*
- All legal and natural person(s) (direct or indirect) owning 25% (10% High Risk) or more of the entity: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required.*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity holding 25% \(or 10% in higher risk cases\) or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*

The following additional documents may be requested by the Transfer Agent:

- Documented verification of source of wealth*
- Proof of address for ultimate beneficial owner(s)*
- Where there are multiple ownership layers:
 - For each entity holding 25% (or 10% in higher risk cases) or more:
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*

13. Benefit Plan (Occupational)

13.1 Benefit Plan regulated by an Approved Regulator and domiciled in an Approved Jurisdiction

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of registration with a pension scheme Regulator or relevant tax office
- Scheme Rules to confirm:
 - i. The scheme provides retirement benefits to employees
 - ii. Contributions are made by an employer or by way of deduction from an employee's wages
 - iii. The scheme rules do not permit the assignment of a member's interest under the scheme
 - iv. Details of Employer(s)
 - v. Details of Administrator

This requirement may be satisfied by a duly authorized letter issued by the Investor or its agent confirming all five points provided above.

Proof of regulation for the Benefit Plan (Regulator must be approved for regulation of pension schemes) may be obtained in place of Scheme Rules. Confirmation that entity satisfies points (i) to (iii) above is also required.

- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) (“SMO(s)”) identified in section 2.4

Where the Investor account is opened in the name of the Trustee:

- Legal document confirming the Trustee’s position (e.g. Trust Deed, Trust Papers or Scheme Rules)
- Proof of registration for Trustee

The following additional documents may be requested by the Transfer Agent:

- Photographic identification document for all authorized signers
- Constitutive documents of Benefit Plan (i.e. Trust Deed or Scheme Rules)
- Documented identification and, in case of High Risk, verification, of Employer(s) making the contributions in line with their legal form
- Documented identification of Scheme Administrator
- Documented identification and, in case of High Risk, verification, of the entity who performs the AML in line with their legal form
- List of all Executive Directors/Trustees (or equivalent): List to include the party’s full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))
 - For each entity holding 25% (or 10% in higher risk cases) or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority’s online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party’s full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution
 - Source of Wealth declaration for Beneficial Owner
- All legal and natural person(s) (direct or indirect) owning 10% or more of the Benefit Plan: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, proof of address, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required.
- List of Directors or persons exercising similar positions (to include the party’s full legal name, date of birth, country of residence and country of citizenship/country of incorporation) for all intermediate legal entity owners in the ownership chain

13.2 Benefit Plan not regulated by an Approved Regulator and/or not domiciled in an Approved Jurisdiction

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for all authorized signers*
- Constitutive documents of Benefit Plan (i.e. Trust Deed or Scheme Rules)*
- Documented identification of Employer(s) making the contributions
- Documented identification of Scheme Administrator
- Documented identification of the entity who performs the AML
- List of all Executive Directors/Trustees (or equivalent): List to include the party’s full legal name, date of birth/incorporation, country of residence and country of citizenship/incorporation*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) (“SMO(s)”) identified in section 2.4*
- Where there are multiple ownership layers:

- A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity holding 25% or more:](#)
- Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity *
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
- Beneficial ownership (share register) for all entities in the ownership chain*
- Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Source of Wealth declaration for Beneficial Owner*

The following additional documents may be requested by the Transfer Agent:

- Documented verification of Employer(s) making the contributions in line with their legal form*
- Documented verification of the entity who performs the AML in line with their legal form*
- All legal and natural person(s) (direct or indirect) owning 10% or more of the Benefit Plan: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required.*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity or individual holding 10% or more \(directly or indirectly\):](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution
- Proof of address of Beneficial Owner
- Documented verification of source of wealth for ultimate beneficial owner(s)*

14 Benefit Plan (Private)

- List of Authorized Signers (dated and on company letterhead)
- Constitutive documents of Benefit Plan (i.e. Trust Deed or Scheme Rules)*
- Photographic identification document for all authorized signers*
- List of all Trustees (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation*
- Documented identification and verification of Scheme Administrator in line with their legal form*
- Documented identification and verification of the entity who performs the AML (if applicable/different to Scheme Administrator) in line with their legal form*
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4*
- All legal and natural person(s) (direct or indirect) owning 25% (10% High Risk) or more of the Benefit Plan: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required*

- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
For each entity holding 25% (or 10% in higher risk cases) or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*
- Source of Wealth declaration for Beneficial Owner*

The following additional documents may be requested by the Transfer Agent:

- Verification of Source of wealth of Beneficial Owner*
- Proof of address of Beneficial Owner
- Where there are multiple ownership layers:
 - For each entity holding 25% (or 10% in higher risk cases) or more:
 - List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation)*

15. Financial Institutions (Acting as Trustee in a Fiduciary Capacity)

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of regulation by an Approved Regulator
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Photographic identification document for account signatories
This requirement may be satisfied by a duly authorized letter issued by the Investor confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))
For each entity holding 25% (or 10% in higher risk cases) or more:
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
 - Beneficial ownership (share register) for all entities in the ownership chain
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution

- All natural person(s) ultimately owning 10% or more of the entity: photographic identification document and identifying information that includes the full name, date of birth, nationality, country of residence, citizenship and percentage of holding. If no party, documented confirmation of same required.
- Proof of address of Beneficial Owner
- List of Directors or persons exercising similar positions (to include the party's full legal name, date of birth, country of residence and country of citizenship/country of incorporation) is required for all intermediate legal entity owners in the ownership chain
- Audited Financial Statements (most recent)
- Identification of source of wealth (for underlying customer(s) where disclosed)
- Documented verification of source of wealth

16. National Securities Clearing Corporation ("NSCC") Broker Dealer Accounts

In this context NSCC Broker dealer refers to an NSCC Distributor, regulated by an Approved Regulator, subject to AML/CFT obligations aligned to those of the Fund and effectively supervised for compliance with these AML/CFT requirements, who opens an Investor account in their name on the Fund register.

- List of Authorized Signers (dated and on company letterhead)
- Proof of regulation by an Approved Regulator
- Intermediary Due Diligence Letter
The Transfer Agent will seek a specific NSCC due diligence letter from the Client/Fund, its Management Company or its Principal Distributor to cover each NSCC Broker dealer investing in the Fund. Alternatively, the Client/Fund may arrange for any of its NSCC Broker dealers to provide the NSCC due diligence letter.
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Information for the underlying customer(s) of the account: name, address, date of birth and written confirmation of source of wealth. Where the underlying customer is a legal entity or arrangement, the Transfer Agent will require similar identifying information for beneficial owner(s) owning 10% or more of the legal entity or arrangement and written confirmation of source of wealth.

17. Authorised Participant (for Exchange Traded Funds)

17.1 Authorised Participant regulated by an Approved Regulator and domiciled in an Approved Jurisdiction:

- List of Authorized Signers (dated and on company letterhead)
Specific representations may be requested about the due diligence measures applied to Authorized Signers and the regular controls carried out on these persons with respect to the applicable lists of restrictive measures in financial matters.
- Proof of regulation by an Approved Regulator
- Authorized Participant Due Diligence Letter
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4 (if applicable)

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Photographic identification document for account signatories
This requirement may be satisfied by a duly authorized letter issued by the Investor confirming it has applied due diligence measures to its Authorized Signers and carries out regular controls of these persons with respect to the applicable lists of restrictive measures in financial matters
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/ incorporation, country of residence and country of citizenship/ incorporation
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized

Signatory or Compliance Officer (or authorized delegate))

[For each entity or individual holding 25% \(or 10% in higher risk cases\) or more \(directly or indirectly\):](#)

- Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry
- Beneficial ownership (share register) for all entities in the ownership chain
- Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution
- Audited Financial Statements (most recent)
- Proof of address of Beneficial Owner

17.2 Authorised Participant not regulated by an Approved Regulator and/or not domiciled in an Approved Jurisdiction:

- List of Authorized Signers (dated and on company letterhead)
- Photographic identification document for account signatories*
- Proof of regulation
- List of all Executive Directors (or equivalent): List to include the party's full legal name, date of birth/incorporation, country of residence and country of citizenship/ incorporation*
- Authorized Participant Due Diligence Letter
- Photographic identification document for all Beneficial Owner(s) or Senior Managing Official(s) ("SMO(s)") identified in section 2.4* (if applicable)
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity holding 25% or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
 - Beneficial ownership (share register) for all entities in the ownership chain*
 - Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*

The following additional documents may be requested by the Transfer Agent:

- Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*
- Audited Financial Statements (most recent)*
- All legal and natural person(s) (direct or indirect) owning 10% or more of the Authorised Participant: identifying information that includes the party full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of holding. If no party, documented confirmation of same required*
- Proof of address of Beneficial Owner*
- Where there are multiple ownership layers:
 - A certified organization chart showing the ownership structure of the entity (signed by an Authorized Signatory or Compliance Officer (or authorized delegate))*
[For each entity holding 10% or more:](#)
 - Full legal name, date of incorporation, country of incorporation and percentage of holding for each legal entity*
 - Certificate of Incorporation (or equivalent), Certificate of Registration or extract from a relevant authority's online registry*

- Beneficial ownership (share register) for all entities in the ownership chain*
- Where an intermediate beneficial owner in the ownership chain is a Trust/Estate, documented identification of Beneficiaries/Class of Beneficiaries, Trustee(s)/Settlor(s)/Grantor(s) and (where present) Protector(s) is also required in order to understand the source of wealth for the investment: identifying information that includes the party's full legal name, date of birth/incorporation, nationality, country of residence, country of citizenship/incorporation and percentage of contribution*

18. List of Approved Exchanges

Country	Exchange Name
AUSTRALIA	ASX Limited
AUSTRALIA	Chi-X Australia Pty Ltd
AUSTRALIA	National Stock Exchange of Australia Limited
AUSTRIA	Wiener Börse AG
BELGIUM	Euronext Brussels
BULGARIA	BULGARIAN STOCK EXCHANGE
CROATIA	Zagrebacka burza d.d. (Zagreb Stock Exchange)
CYPRUS	CYPRUS STOCK EXCHANGE
CZECH REPUBLIC	Burza cenných papírů Praha, a.s. (Prague Stock Exchange)
DENMARK	NASDAQ COPENHAGEN A/S
ESTONIA	NASDAQ Tallinn Aktsiaselts
FINLAND	Nasdaq Helsinki Oy
FRANCE	Euronext Paris SA
GERMANY	DUESSELDORFER BOERSE
GERMANY	BOERSE BERLIN
GERMANY	BADEN-WUERTTEMBERGISCHE WERTPAPIERBOERSE
GERMANY	Boerse Hamburg Lang and Schwarz Exchange
GERMANY	HANSEATISCHE WERTPAPIERBOERSE HAMBURG
GERMANY	NIEDERSAECHSISCHE BOERSE ZU HANNOVER
GERMANY	BOERSE MUENCHEN
GERMANY	TRADEGATE EXCHANGE
GERMANY	FRANKFURTER WERTPAPIERBOERSE
GERMANY	XETRA
GERMANY	EUREX DEUTSCHLAND
GREECE	Hellenic Exchanges - Athens Stock Exchange SA
HUNGARY	Budapesti Értéktőzsde Zrt. (Budapest Stock Exchange)
ICELAND	Nasdaq Iceland hf.
IRELAND	Euronext Dublin
ITALY	Borsa Italiana S.P.A.
JAPAN	Tokyo Stock Exchange Inc
JAPAN	Osaka Securities Exchange Co Ltd
LATVIA	Nasdaq Riga AS
LITHUANIA	Nasdaq Vilnius, AB
LUXEMBOURG	Bourse de Luxembourg
MALTA	Malta Stock Exchange
MALTA	Institutional Financial Securities Market
NETHERLANDS	Nxchange B.V.
NETHERLANDS	CBOE Europe B.V.
NETHERLANDS	Euronext Amsterdam N.V.
NEW ZEALAND	NZX

Country	Exchange Name
NORWAY	NASDAQ OSLO ASA
NORWAY	OSLO BØRS ASA
NORWAY	OSLO AXESS
POLAND	Gielda Papierow Wartosciowych w Warszawie S.A. (Warsaw Stock Exchange)
PORTUGAL	Euronext Lisbon - Sociedade Gestora de Mercados Regulamentados, SA
ROMANIA	Bursa de Valori Bucuresti SA
SINGAPORE	Singapore Exchange Securities Trading Ltd
SLOVAKIA	Burza cenných papierov v Bratislave, a.s.
SLOVENIA	Ljubljana Stock Exchange Inc.
SPAIN	Bolsa de Barcelona
SPAIN	Bolsa de Bilbao
SPAIN	Bolsa de Valencia
SPAIN	Bolsa de Madrid
SWEDEN	Nasdaq Stockholm AB
SWEDEN	Nordic Growth Market - Main Regulated
SWITZERLAND	Swiss Stock Exchange
UNITED KINGDOM	London Stock Exchange
UNITED KINGDOM	NEX Exchange Main Board
UNITED KINGDOM	Euronext London
UNITED KINGDOM	Gibraltar Stock Exchange
USA	New York Stock Exchange LLC
USA	The Nasdaq Stock Market
USA	Investors Exchange LLC
USA	Long-Term Stock Exchange, Inc.
USA	MEMX, LLC
USA	Cboe Exchange, Inc.

19. List of Approved Regulators

Country name	Recognised Regulator
Andorra	Andorran Financial Authority
Australia	Australian Prudential Regulation Authority Australian Securities and Investments Commission
Austria	Financial Market Authority
Belgium	FSMA National Bank of Belgium
Bulgaria	Financial Supervision Commission (Bulgaria) Bulgarian National Bank (BNB)
Canada	Financial Transactions and Reports Analysis Centre of Canada Investment Industry Regulatory Organization of Canada Office of the Superintendent of Financial Institutions
Chile	Comision Para El Mercado Financiero (CMF)
Croatia	Croatian Financial Services Supervisory Agency
Czech Republic	Czech National Bank
Denmark	Financial Supervisory Authority
Estonia	Financial Supervisory Authority of Estonia Eesti Pank
Finland	Financial Supervisory Authority
France	Banque de France Autorite des Marches Financiers (AMF) Autorité de Contrôle Prudentiel et de Résolution (ACPR)
Germany	BaFin

Country name	Recognised Regulator
Greece	Greek Central Bank Hellenic Capital Market Commission
Hungary	Hungarian Financial Supervisory Authority
Iceland	Financial Supervisory Authority (Iceland)
Ireland	Central Bank of Ireland Irish Takeover Panel
Italy	Consob Central Bank of Italy Istituto Per La Vigilanza Sulle Assicurazioni (IVASS)
Japan	Bank of Japan Financial Services Agency
Latvia	Financial and Capital Market Commission
Liechtenstein	Financial Market Authority (Liechtenstein)
Lithuania	Bank of Lithuania
Luxembourg	Commission de Surveillance du Secteur Financier Commission de Contrôle des Activités Financières (CCAF)
Monaco	SICCFIN, Service d'Information et de Contrôle sur les Circuits Financiers Monaco Association for Financial Activities
Netherlands	AFM De Nederlandsche Bank
New Zealand	Reserve Bank of New Zealand Financial Markets Authority New Zealand
Norway	Financial Supervisory Authority of Norway
Poland	Polish Financial Supervision Authority (KNF) Portuguese Securities Market Commission
Portugal	Portuguese Insurance Regulator Banco de Portugal
Romania	Banca Nationala a Romaniei Romanian Financial Supervisory Authority
San Marino	Banca Centrale Della Repubblica Di San Marino
Singapore	Monetary Authority of Singapore
Slovakia	Narodna Banka Slovenska
Slovenia	Banka Slovenije
South Korea	Financial Supervisory Service Financial Services Commission
Spain	Direccion General De Seguros Y Fondos De Pensiones (DGFSP) CNMV Banco de Espana
Sweden	Financial Supervisory Authority (Sweden)
Switzerland	Swiss Financial Market Supervisory Authority Swiss National Bank
Taiwan	Financial Supervisory Commission Financial Supervisory Commission, R.O. C - SFB Financial Supervisory Commission, R.O. C - IB Financial Conduct Authority (FCA)
United Kingdom	Prudential Regulation Authority
United States	OCC Regulation for Banks SEC FINRA New York State Department of Financial Services FDIC (Federal Deposit Insurance Corporation) The Federal Reserve Commodity Futures Trading Commission (CFTC) Financial Crimes Enforcement Network (FinCEN) National Credit Union Administration (NCUA) National Futures Association (NFA)
Uruguay	Banco Central de Uruguay

20. List of Approved Jurisdictions

ANDORRA	GREENLAND	NORWAY
AUSTRALIA	HUNGARY	POLAND
AUSTRIA	ICELAND	PORTUGAL
BELGIUM	IRELAND	ROMANIA
BULGARIA	ITALY	SAN MARINO
CANADA	JAPAN	SINGAPORE
CHILE	KOREA, REPUBLIC OF	SLOVAKIA
CROATIA	LATVIA	SLOVENIA
CZECH REPUBLIC	LIECHTENSTEIN	SPAIN
DENMARK	LITHUANIA	SWEDEN
ESTONIA	LUXEMBOURG	SWITZERLAND
FINLAND	MONACO	TAIWAN, PROVINCE OF CHINA
FRANCE	NETHERLANDS	UNITED KINGDOM
GERMANY	NEW CALEDONIA	UNITED STATES
GREECE	NEW ZEALAND	URUGUAY

Annex 2: Bank account references for subscription payments

Goldman Sachs Funds VI

EUR	Intermediary bank: HSBC Continental Europe S.A. Beneficiary bank account number: 0010000512237 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502207 Final beneficiary account name: GSAM Liquid SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
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*In case no other payments options than SEPA are supported by your service provider please contact your GSAM Sales representative for alternatives

All other Funds

AUD	Intermediary bank: HKBAU2S HSBC Bank Australia Limited Beneficiary bank account number: 011798279041 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
CAD	Intermediary bank: BOFMCAM2 Bank of Montreal, Montreal Beneficiary bank account number: 31691035406 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
CHF	Intermediary bank: CRESCHZZ80A Credit Suisse Bank, Zurich Beneficiary bank account number: 08350983890-13000 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
CZK	Intermediary bank: CITICZPX Citibank Europe Plc, organisacni slozka Beneficiary bank account number: CZ032600000001014420107 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
DKK	Intermediary bank: NDEADKKK Nordea Bank Copenhagen Beneficiary bank account number: 5000401874 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.
EUR	Intermediary bank: HSBC Continental Europe S.A. Beneficiary bank account number: 0010000512237 Beneficiary bank name: BBHCUS33	Brown Brothers Harriman NY Final beneficiary account number: 6502421 Final beneficiary account name: GSAM SubRed Account Narrative: Please quote the trade reference, fund name and register account number.

*In case no other payments options than SEPA are supported by your service provider please contact your GSAM Sales representative for alternatives

GBP	<p>Intermediary bank: BARCGB22 Barclays Bank plc</p> <p>Beneficiary bank account number: GB77BARC20325353623157</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
HKD	<p>Intermediary bank: HSBCHKHH HSBC, Hong Kong</p> <p>Beneficiary bank account number: 002893337001</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
HUF	<p>Intermediary bank: CITIHUHX Citibank Europe plc, Hungarian Branch Office</p> <p>Beneficiary bank account number: HU5010800007900000201779049</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
JPY	<p>Intermediary bank: BOTKJPJT</p> <p>The Bank of Tokyo Mitsubishi UFJ, Tokyo</p> <p>Beneficiary bank account number: 653-0415103</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
NOK	<p>Intermediary bank: NDEANOKK Nordea Bank Norge ASA, Oslo</p> <p>Beneficiary bank account number: NO2860010241084</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
PLN	<p>Intermediary bank: CITIPLPX</p> <p>Bank Handlowy w Warszawie SA, Warsaw</p> <p>Beneficiary bank account number: 5410301508000000300472117</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
RON	<p>Intermediary bank: CITIROBUX Citibank, Bucharest</p> <p>Beneficiary bank account number: RO97CITI0000000550423006</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
SEK	<p>Intermediary bank: ESSESESS</p> <p>Skandinaviska Enskilda Banken AB (publ), Stockholm</p> <p>Beneficiary bank account number: SE745000000052018513109</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>

SGD	<p>Intermediary bank: HSBCSGSG</p> <p>The Hong Kong and Shanghai Banking Corporation Limited, Singapore</p> <p>Beneficiary bank account number: 141140681001</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
USD	<p>Intermediary bank: ABA: 021000089</p> <p>Swift: CITIUS33</p> <p>Citibank N.A., New York</p> <p>Beneficiary bank account number: 09250276</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final beneficiary account number: 6502421</p> <p>Final beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>
ZAR	<p>Intermediary bank: Standard Chartered Bank Johannesburg</p> <p>Branch Swift: SCBLZAJJ</p> <p>Beneficiary Bank account number: 07587096300</p> <p>Beneficiary bank name: BBHCUS33</p>	<p>Brown Brothers Harriman NY</p> <p>Final Beneficiary account number: 6502421</p> <p>Final Beneficiary account name: GSAM SubRed Account</p> <p>Narrative: Please quote the trade reference, fund name and register account number.</p>

Annex 3: Intermediary Due Diligence Letter

[Insert financial institution letter head]

[DATE]

Goldman Sachs Funds III SICAV
Goldman Sachs Funds IV SICAV
Goldman Sachs Funds V SICAV
Goldman Sachs Funds VI SICAV
Goldman Sachs Funds VII FCP
Goldman Sachs Investment Funds II SICAV
ING Direct SICAV
Winning Funds SICAV
("the Funds")

Brown Brothers Harriman (Luxembourg) S.C.A.
80, Route D'Esch
L-1470 Luxembourg
("BBH")

Anti-Money Laundering, Countering of the Financing of Terrorism and Sanctions

We, *[insert full name of the financial institution providing the letter]*, hereby represent and warrant to BBH as transfer agent to the Funds that, in respect of the account(s) being opened by us which are for the benefit of, and use by, our underlying clients(s) (the "underlying client(s)"):

We are a *[institution type]* authorised and licensed under the laws of *[relevant jurisdiction]* and regulated by *[relevant regulatory body]* for purposes of Anti-Money Laundering ("AML"), Countering of the Financing of Terrorism ("CFT") and sanctions compliance under the *[name of relevant legislation]* which are in accordance with Financial Action Task Force ("FATF") standards. We have implemented and maintain an AML, CFT and Sanctions program designed to comply with the above legislation which is equivalent to Luxembourg AML, CFT and sanctions obligations. *[If financial institution is an unregulated subsidiary or nominee of the financial institution: [name of subsidiary / nominee] is a company within our group of companies and has implemented the controls described in this letter].*

In accordance with our AML / CFT Program, we have carried out due diligence on our underlying clients and, in particular, have identified and verified their identity, as well as the identity of any beneficial owners or controlling person (each, a "Related Party") and source of funds, when required by law. This due diligence includes procedures for the identification of Politically Exposed Persons and the application of enhanced due diligence to those persons and other high-risk underlying clients. Where we are acting on behalf of underlying clients who are themselves intermediaries, our due diligence includes an assessment of their AML / CFT Programs. We retain copies of all due diligence carried out on the underlying clients for a period of at least 5 years from the end of our relationship with the underlying clients. We will provide BBH and / or the fund in which we have invested with access to those records if requested.

We conduct ongoing monitoring to identify and report suspicious activity, as appropriate, and have procedures in place for cooperating with and reporting to relevant governmental and law enforcement authorities. We conduct screening of our underlying clients and their Related Parties against the governmental sanctions listed below (each a "Sanctions Regime") and confirm that as of today, no underlying clients or Related Party is:

- Named on a sanctions list or otherwise subject to sanctions program of an applicable Sanctions Regime administered by:
 - The U.S. Office of Foreign Asset Control ("OFAC") (e.g., a Specially Designated National "SDN" or a person who is domiciled in an OFAC comprehensively-sanctioned country);
 - The United Nations;

- The European Union;
- Any other Sanctions Regime applicable to our institution;
- Debarred pursuant to the U.S. Arms Export Control Act or the International Traffic in Arms Regulations;
- A shell bank; or
- Found by us to have engaged in or be suspected of money laundering

We acknowledge that BBH is required to monitor account activity and to screen against the lists issued by applicable Sanctions Regimes. We will respond fully to any request from BBH for information from us regarding the nature and purpose of transactions, or other information or documentation regarding the underlying clients.

Should any of the representations and warranties made in this letter change, we will inform BBH in writing as soon as reasonably practicable. In particular, if any underlying clients or Related Party is found by us to have been named on any list maintained, now or in the future, by the Sanctions Regimes we will notify BBH.

Name:

Title:

Date: